



WSDOT DISADVANTAGED BUSINESS ENTERPRISE PROGRAM:

Quarterly progress report to FHWA, September 2015

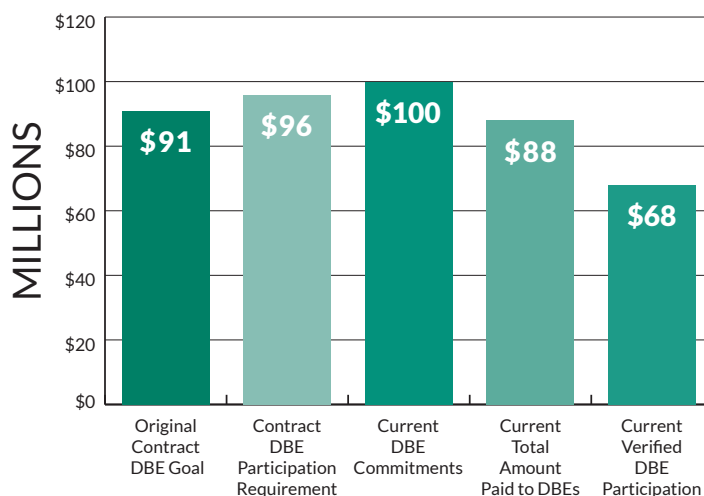
OVERVIEW

The Washington State Department of Transportation (WSDOT) provides quarterly progress reports to the Federal Highway Administration (FHWA) on both project and program-level Disadvantaged Business Enterprise (DBE) program participation, pursuant to the Conciliation Agreement between FHWA and WSDOT executed on March 20, 2014.

This quarterly report includes progress updates for both the Alaskan Way Viaduct (AWV) Bored Tunnel project and WSDOT's statewide DBE program. The participation and other data included in this report represent information verified through July 31, 2015; other activities noted reflect work performed through mid-September 2015.

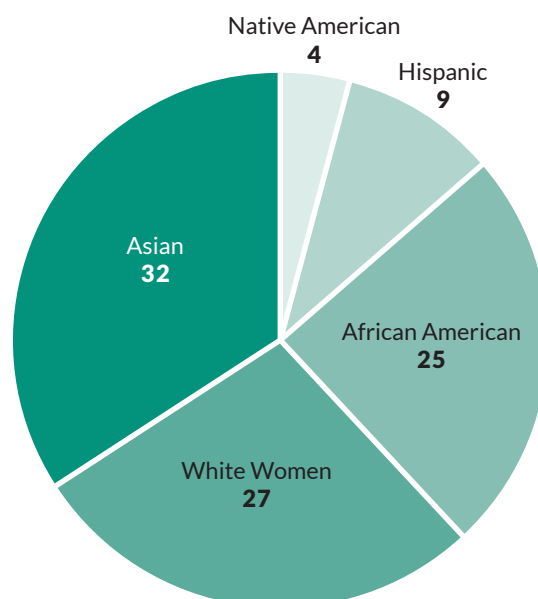
PROGRESS AT A GLANCE

AWV Project-Specific Efforts



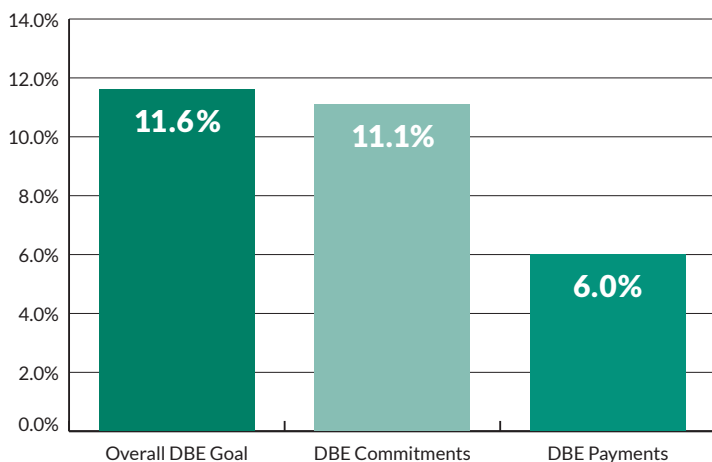
Improving Oversight, Expanding Opportunities:

WSDOT conducted an updated analysis of the race/ethnicity and gender of the DBE firm owners working on the AWV project. This information is provided in the pie chart to the right:



Agency Progress

As of August 31, 2015, WSDOT (Local Programs, Consultant Services and HQ Construction) is attaining 11.1 percent in DBE commitments (condition of award goals 9.6 percent; voluntary participation 1.5 percent) and 6.0 percent in payments on closed contracts. WSDOT's payments on closed contracts decreased from 7.5 percent to 6.0 percent due to old mega-projects, including a project from over ten years ago with a total cost of approximately \$400 million dollars, with minimal DBE participation. Moving forward, agency-wide processes and procedures have been implemented to ensure that current and future projects established DBE participation goals are in alignment with expectations as established in the conciliation agreement and regulations.



Seattle Tunnel Partners (STP) efforts to achieve DBE contract goal

This report constitutes the September 2015 FHWA Quarterly DBE Progress Report for the SR 99 Tunnel Contract. This report summarizes DBE progress on the SR 99 Tunnel Contract for the period of May 1, 2015 to July 31, 2015. A detailed summary of changes between STP DBE Progress Report #50 and Progress Report #53 may be found in Exhibit A.

STP monthly DBE Progress Reports #51, #52, and #53, were verified following the monthly verification procedures, approved by FHWA. WSDOT's Verification of

STP's DBE Progress Report #53 may be found in Exhibit B, as a reference document. This document is being provided for comparative purposes with STP DBE Progress Report #50, which was previously submitted to FHWA under the June 2015 FHWA DBE Quarterly Progress Report.

- **DBE Subcontracting Oversight Committee.** Between May 1, 2015 and July 31, 2015, STP continued to report on procurement efforts at the Committee meetings. STP also submitted their quarterly DBE Action Plan, dated July 31, 2015, which documents their approach to DBE goal attainment on the project. During the month of July, STP presented the following procurements at the Subcontracting Oversight Committee meetings:

1. Landscaping, irrigation, and drainage for the North and South Operations Buildings:
 - a. STP sent out the Request for Proposal (RFP) on June 19, 2015 with a July 10, 2015 close date. STP only invited certified DBE firms to bid.
 - b. STP is proceeding to award this scope to the more competitive of the two responsive DBE firms.
2. Site concrete, curbs, and walk ways for the North and South Operations Buildings:
 - a. STP sent out the RFP on June 19, 2015 with a July 10, 2015 close date. STP only invited certified DBE firms to bid.
 - b. Only one firm responded to the RFP, this firm was certified for this scope of work. STP is currently reviewing that bid with the DBE firm.

STP negotiated change orders and purchase orders with DBE firms already on contract based on changes in information and/or work previously awarded. STP continues to work with subs on lower-tier DBE participation. STP worked with a DBE firm, DHD Trucking, LLC, and executed a change order to increase their hourly rate by 10.1 percent.

- **DBE Communications.** STP's DBE Progress Report #50, submitted with the June 2015 FHWA DBE Report, documented outreach through July 2015. STP's DBE Progress Report #53 for July 2015, reports the following outreach events (See Exhibit B,

Attachment #1):

- On August 6, 2015, STP staff attended the National Association of Minority Contractors of Washington (NAMC) monthly meeting. STP attended the NAMC meeting in order to continue to engage MBE/DBE firms and provide project and opportunity updates.
- On August 6, 2015, STP staff attended the Women in Business networking event sponsored by Schwabe, Williamson & Wyatt. STP participated by presenting on the SR 99 Tunnel Project.
- On August 12, 2015, STP staff hosted the STP DBE Outreach and Engagement Meeting and presented on project status, opportunities, and details on the RFP for the backfill of the access shaft.
- On August 21, 2015, STP staff attended the Washington Construction Design & Entrepreneurs (CDE) meeting in Federal Way to provide an update on the backfill of the access shaft RFP and upcoming work.
- On August 29, 2015, STP staff attended the Tabor 100 General Membership Meeting to provide an update on STP progress towards achieving the DBE goal, upcoming opportunities, and an update on the backfill of the access shaft.
- On September 3, 2015, STP staff attended the NAMC monthly meeting to present on progress toward the DBE goal, opportunities, and provide an update on the backfill of the access shaft.
- On September 18, 2015, STP staff attended the Washington CDE meeting in Bellevue. The purpose of STP attending this meeting was to network with minority and women owned businesses.
- On September 26, 2015, STP plans on attending the Tabor 100 General Membership Meeting to provide project updates and information on upcoming opportunities.
- On October 1, 2015, STP plans on attending the NAMC monthly meeting to provide project updates and information on upcoming opportunities.
- On October 2, 2015, STP plans on attending the Tabor 100 Unity Gala. STP has sponsored a table for the Tabor 100 Unity Gala.
- On October 16, 2015, STP plans on attending the CDE Federal Way meeting to network with minority and women owned businesses.
- On October 31, 2015, STP plans on attending the Tabor 100 General Membership Meeting to provide project updates and upcoming opportunities.
- **DBE Outreach.** Outreach activities performed by the WSDOT AWV HQ DBE Administrator for the AWV Replacement Program, between May 1, 2015 and August 31, 2015 included:
 - On June 4, 2015, the AWV HQ DBE Administrator attended the NAMC Membership Meeting.
 - On June 27, 2015, the AWV HQ DBE Administrator attended the Tabor 100 General Membership Meeting.
 - On July 2, 2015, the AWV HQ DBE Administrator attended the NAMC Monthly Membership Meeting.
 - On July 25, 2015, the AWV HQ DBE Administrator attended the Tabor 100 General Membership Meeting.
 - On August 6, 2015, the AWV HQ DBE Administrator attended the NAMC Monthly Membership Meeting.
 - On August 12, 2015, the AWV HQ DBE Administrator attended the STP DBE Outreach and Engagement Meeting.
 - On August 29, 2015, the AWV HQ DBE Administrator attended the Tabor 100 General Membership Meeting.
 - The AWV HQ DBE Administrator reached out to a firm that provides DBEs with financial tools and assistance.
 - The AWV HQ DBE Administrator assisted one DBE

with Certified Payroll issues.

- The AWV HQ DBE Administrator assisted one DBE firm with the Trucking Roster Application.
- The HQ DBE Administrator held 15 one-on-one meetings and/or discussions with various DBE firms to identify upcoming contracting opportunities. Firms included:

- Three Engineering Firms regarding the future Operations Building opportunity.
- Two Financial Services Firms regarding DBE financial assistance.
- Six DBE Trucking Firms regarding the backfill of access shaft opportunities.
- One Wireless Safety Communications Firm regarding wireless connections for tunnel opportunities.
- One Environmental Firm regarding the waste water opportunities.
- One Construction Management Firm regarding general services opportunities
- One Utilities Relocation/ Demolition Firm regarding the demolition of the access shaft opportunities.

Certification of Monetary Commitments

- **Verified DBE Participation.** AWV Project Staff followed the Monthly DBE Progress Report Verification Procedures in performing the verification of the \$100.3 million in STP claimed commitments and \$68.0 million in claimed participation reported by STP in Progress Report #53. (See Exhibit B: Memorandum, Validation STP Monthly DBE Progress Report #53). This process was also followed to validate STP Progress Reports #51 and #52.
- **Work site Monitoring.** During the period of May 2015 through July 2015, the following activities occurred:
 - There were two on-site reviews performed

in May, four in June, and none performed in July, which makes for six total on-site reviews performed between May 1, 2015 and July 31, 2015.

- The DBE labor hours were reported as follows for each of the months in this quarterly Report.

	May	June	July
Total Hours Reported:	4,002.50	6,284.50	5,808.75
Total Hours Certified Payroll:	3,951.25	6,467.75	5,650.50

- Discrepancies between reported and Certified Payrolls can be attributed to differences in reporting periods by the contractor and/or contractors not submitting paperwork in a timely fashion. Thus, STP will continue to work with their subcontractors to ensure labor hours are reported in a timely and efficient manner.
- **Monetary commitments.** A comparison of STP Progress Report #50, as reported in the June 2015 FHWA DBE Report, and Progress Report #53 (see Exhibit A: Attachment #1) is as follows:

Summary	PR #50	PR #53	Progress
Contract DBE Participation Requirement	\$96,000,000.00	\$96,000,000.00	N/A
Current DBE Commitments	\$95,354,991.60	\$100,302,137.64	\$4,947,146.04
Current Total Amount Paid to DBEs	\$81,866,641.39	\$87,847,487.44	\$5,980,846.05
Current DBE Participation	\$62,022,459.41	\$68,008,059.28	\$5,985,599.87

Utilization, Prompt Payment and Retainage

- STP Progress Report #53 stated that the number of DBE subcontractors working on the project grew from 96, as reported in Progress Report #50, to 97 DBE firms, as reported in Progress Report #53.
- The total number of subcontracts increased from 167

reported on Report #50 to 170 reported on Report #53.

- Comparing Report #53 to Report #50 results in the following changes:
 - 42 Commitment changes totaling a \$4,947,145.04 increase.
(Exhibit A: Attachment #2)
 - 46 Invoiced to Date changes totaling a \$5,492,639.68 increase.
(Exhibit A: Attachment #3)
 - 50 Payments to Date changes totaling a \$5,980,846.05 increase.
(Exhibit A: Attachment #4)
 - 46 DBE Amount (as amended) changes totaling a \$5,950,459.87 increase.
(Exhibit A: Attachment #5)
- The status of contracts and associated retainage may be found in Exhibit B: Attachment #6: List of DBE Subcontracts.

Monitoring and Investigation of Complaints Regarding DBE Participation

The WSDOT AWW HQ DBE Administrator monitored and investigated the following complaints between May 1, 2015 and August 31, 2015:

- **Prompt Payment Issue Update.** One prompt pay concern continues to be monitored during this reporting period. The HQ AWW DBE Administrator continues to work with STP to keep all DBE firms' payments current. (Continuation from previous report)
- **Not to Exceed Contract Concerns.** The AWW HQ DBE Administrator worked with one DBE firm concerning the full utilization of a Not to Exceed Contract. The DBE contract had only been used for half of the total contracted amount. The AWW HQ DBE Administrator is working with STP to identify additional work that the DBE could perform that

would maximize the DBE's participation.

- **Contract Maximization** - The AWW HQ DBE Administrator worked with STP and a DBE vendor to ensure contract quantities are being met for the project.
- **Support Services.** The AWW HQ DBE Administrator is developing a scope of work document as part of the implementation of Support Services model for the AWW project. (Continuation from Previous Report)
- **Technical Advisement** - The AWW HQ DBE Administrator worked with one DBE firm to provide clarification on contract requirements related to fee structures.

WSDOT DBE Program Level Progress

DBE Monitoring Process and Procedures

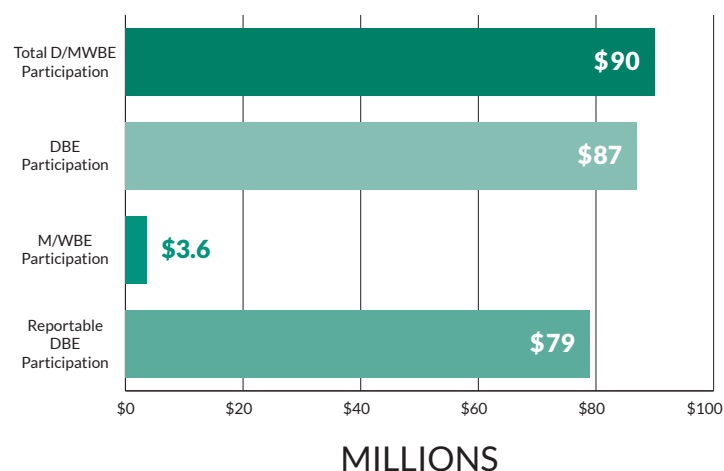
- During August, WSDOT implemented the new DBE General Special Provision (GSP). The new DBE GSP provides WSDOT Project Engineers with more control and responsibility for managing DBE Participation. The new DBE GSP is included as Exhibit C.
- During the last reporting period, WSDOT implemented a new DBE goal setting methodology, which allows for more aggressive project goals. During the September 15, 2015 Goal Committee Meeting, WSDOT evaluated the effectiveness of the new goal setting methodology.

Timeframe	Average Goal Set	Goal Methodology
October 1, 2014 through April 30, 2015	9.93%	Old Methodology
May 1, 2015 to August 31, 2015	13.09%	New Methodology
October 1, 2014 through August 31, 2015	10.69%	Old & New Methodology

There has been a noted improvement in the goals set since May 1, 2015. However, WSDOT will continue to monitor project goal setting to ensure aggressive yet realistic project goals are set that position the agency to

meet the overall DBE goal.

- WSDOT is part of the Governor's Subcabinet on increasing agency spend with Small, Minority, Women and Veteran owned businesses. As part of this subcabinet, WSDOT analyzed our spend with DBEs as well as Minority and Women's Business Enterprises (M/WBE) to determine how much money is going to the minority and women contracting community versus what is reported to the Federal Highway Administration pursuant to DBE program rules. WSDOT analyzed the last state fiscal year (July 1, 2014 through June 30, 2015) and the results are illustrated below:



The reportable DBE participation is less than the total DBE Participation as WSDOT is only allowed to report a percentage of the DBE participation equal to the percentage of federal-aid. For example, if a project was 50% federally-funded and a DBE was paid \$100, only \$50 could be reported to FHWA.

- During September, WSDOT published the RFP for the next DBE Program Disparity Study. This RFP is available at: www.wsdot.wa.gov/Business/Consulting/.

Training

- On July 23, 2015, WSDOT OEO and HQ Construction staff provided DBE Program Training to approximately 40 PCL Construction Services staff. This training

included WSDOT's DBE Program policies and procedures, including but not limited to commercially useful function, bidding requirements, and change orders.

Business Development & Outreach

- During July, August and September the interim Director of OEO attended community and trade based organization meetings (e.g. Tabor 100 and NAMC).
- On July 15, 2015, WSDOT held a DBE Advisory Group Meeting. During this meeting members were provided an update on the Director of the OEO recruitment, and discussion occurred regarding the Design-Build DBE Contract Language, DBE Support Services Long Term Business Development Program, Disparity Study and DBE Program Participation Plan. The DBE Advisory Group was provided opportunity to comment on the draft Request for Proposal (RFP) for the Disparity Study, DBE Participation Plan and Design-Build DBE Contract Language.
- On August 1, 2015, Mike North joined WSDOT as Interim Director of OEO. Mike was assigned to this position as the result of a cooperative agreement between WSDOT and the Washington State Department of Enterprise Services (DES). While at DES, Mike worked as an Outreach Manager in the Business Diversity and Outreach program, most recently participating on Governor Inslee's business diversity subcabinet initiative as a subcabinet support team member.
- On August 17, 2015, Dennis Worrell joined WSDOT OEO as the Business Development Advisor. Dennis will be working in the DBE Support Services Program assisting small disadvantaged business owners in the Long Term Business Development Program. Dennis will be working with other agencies and professional partners on delivering services and technical assistance to help DBEs succeed.

- On August 27, 2015, OEO staff attended the USDOT Northwest Small Business Transportation Resource Center's Small Business Loan Workshop "Are You Ready?" During this event small business owners, agency representatives, prime contractors and financial industry experts discussed the importance of working capital and how to obtain it. There were approximately 20 people in attendance.
- On September 9, 2015, OEO staff attended Manson Construction's "ABCs of RFPs". This class consisted of presentations from Manson Construction, Procurement & Technical Assistance Center (PTAC), Native PTAC, Nisqually Indian Tribe and WSDOT. The presentations were developed with the intent of teaching small business owners the basic tools for preparing responsive, responsible bids, finding prime contractors, submitting quotes and entering into a subcontract.
- On September 17, 2015, OEO staff attended the 2nd Annual Minority Business Policy Workshop. At this event minority business owners engaged with state agencies in a roundtable discussion to develop a legislative policy agenda intended to change systematic issues and create sustainable change in Washington.
- OEO is working with the AWW Program Staff on developing a DBE Support Services delivery model to assist DBEs who participate on mega-projects. The current Business Development Program does not have a mechanism for helping more developed DBE firms receive targeted technical assistance. WSDOT will be developing a model and submitting a revised scope of work to FHWA in the near future.
- WSDOT developed and distributed a new DBE

Program Newsletter, attached as Exhibit D.

EXHIBITS:

- EXHIBIT A:** Summary of DBE Progress Changes between STP DBE Progress Report #50 and #53.
- Attachment #1, Summary of Comparison between DBE Progress Report #53 and #50
- Attachment #2, Comparison of DBE Progress Report #53 to #50 DBE Commitment Validation
- Attachment #3, Comparison of DBE Progress Report #53 to #50 DBE Invoice to Date Validation
- Attachment #4, Comparison of DBE Progress Report #53 to #50 DBE Total Payments Validation
- Attachment #5, Comparison of DBE Progress Report #53 to #50 DBE Participation Validation
- EXHIBIT B:** Memorandum, Validation STP Monthly DBE Progress Report #53
- Attachment #1, STP DBE Progress Report No. 53, July 2015
- Attachment #2, DBE Commitment Validation
- Attachment #3, DBE Invoice to Date Validation
- Attachment #4, DBE Total Payments Validation
- Attachment #5, DBE Amount (as amended) Validation
- Attachment #6, List of DBE Subcontracts
- Attachment #7, DBE Certified Payrolls Hours Verification, July 2015
- EXHIBIT C:** DBE General Special Provision
- EXHIBIT D:** September Quarterly Newsletter

Americans with Disabilities Act (ADA) Information: This material can be made available in an alternate format by emailing the Office of Equal Opportunity at wsdotada@wsdot.wa.gov or by calling toll free, 855-362-4ADA(4232). Persons who are deaf or hard of hearing may make a request by calling the Washington State Relay at 711.

Title VI Statement to Public: It is the Washington State Department of Transportation's (WSDOT) policy to assure that no person shall, on the grounds of race, color, national origin or sex, as provided by Title VI of the Civil Rights Act of 1964, be excluded from participation in, be denied the benefits of, or be otherwise discriminated against under any of its federally funded programs and activities. Any person who believes his/her Title VI protection has been violated, may file a complaint with WSDOT's Office of Equal Opportunity (OEO). For additional information regarding Title VI complaint procedures and/or information regarding our non-discrimination obligations, please contact OEO's Title VI Coordinator at (360) 705-7082.

EXHIBIT A: Narrative Comparison between DBE Progress Report #53 and #50

DBE Progress Report Validation STP DBE Progress Report #53 vs #50

This narrative summarizes the difference between Seattle Tunnel Partner's (STP) DBE Progress Report #53 and DBE Progress Report #50 and provides an update of activities since the June 2015 FHWA DBE Progress Report, which reported on activities through April 30, 2015.

STP's Progress Report #50, submitted to WSDOT on May 29, 2015, was provided to FHWA via WSDOT DBE Program Quarterly Progress Report to FHWA, dated June 2015. STP Progress Report #50 indicated there were 96 DBE subcontractors working on 167 DBE subcontracts. The total commitments reported by STP were \$95,354,991.60 and the Total DBE Participation claimed was \$62,022,459.41.

STP's Progress Report #53, submitted to WSDOT on August 31, 2015, indicates there are now 97 DBE subcontractors working on 170 DBE subcontracts. The total commitments reported by STP are \$100,302,136.64 and the Total DBE Participation claimed is \$67,972,919.28.

A Summary of the differences between Progress Report #53 and #50 may be found in Attachment #1. Details regarding commitments, invoiced to date, total payments and DBE participation are as follows:

- 42 Commitment changes totaling a \$4,947,145.04 increase. (Attachment #2)
- 46 Invoiced to Date changes totaling a \$5,492,639.68 increase. (Attachment #3)
- 50 Payments to Date changes totaling a \$5,980,846.05 increase. (Attachment #4)
- 46 DBE Amount (as amended) changes totaling a \$5,950,459.87 increase. (Attachment #5)

STP's DBE Progress Reports #50 through #53, were validated by WSDOT following the validation procedures approved by FHWA.

ATTACHMENTS:

- #1: Summary of Comparison between DBE Progress Report #53 and #50
- #2: Comparison of Commitments between DBE Progress Report #53 and #50
- #3: Comparison of Invoicing between DBE Progress Report #53 and #50
- #4: Comparison of Total Payments between DBE Progress Report #53 and #50
- #5: Comparison of DBE Participation between DBE Progress Report #53 and #50

EXHIBIT A: ATTACHMENT #1
SUMMARY OF DBE PROGRESS REPORT VALIDATIONS- PROGRESS REPORT #53 vs #50

	DBE Progress Report		
Progress to Date	#50	#53	Delta
Commitments	\$ 95,354,991.60	\$ 100,302,136.64	\$ 4,947,145.04
Invoiced to Date	\$ 83,813,275.39	\$ 89,305,915.07	\$ 5,492,639.68
Payments to Date	\$ 81,866,641.39	\$ 87,847,487.44	\$ 5,980,846.05
DBE Participation	\$ 62,022,459.41	\$ 67,972,919.28	\$ 5,950,459.87
# of DBE Contractors	96	97	1
# DBE Subcontracts	167	170	3
On-Site Reviews	18	6	24
	2/2015- 4/2015	5/2015- 7/2015	TOTAL for 2015

DBE Progress Report	Reported Labor Hours	Certified Payroll Hours	Delta
#51	4,002.50	3,951.25	(51.25)
#52	6,284.50	6,467.75	183.25
#53	5,808.75	5,650.50	(158.25)
TOTAL	16,095.75	16,069.50	(26.25)

EXHIBIT A: ATTACHMENT # 2
DBE COMMITMENT VALIDATION- PROGRESS REPORT #53 vs. #50

8606 S.016 .05	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Invoiced to Date	#53 Commitment	#50 Commitment	#53 - #50 Commitment Change	REMARKS
	FIRST TIER										
1	Advanced Underground Utilities (Added on #43)	NOB Underground Utilities	S	12-Sep-14		88%	\$ 167,119.25	\$ 323,125.38	\$ 285,647.50	\$ 37,477.88	Subcontract (#5015-01) for \$285,647.50 in binder
2	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	66%	\$ 93,580.86	\$ 93,580.86	\$ 61,745.86	\$ 31,835.00	Equals Invoiced to date; Total of Subconsultant Agreement #1 w/3 Change Orders, and Subconsultant Agreement #2 (through CO #1) Total Revised NTE Agreement Amount = \$95,980.86
3	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	96%	\$ 1,218,533.90	\$ 1,218,533.90	\$ 1,175,147.50	\$ 43,386.40	Equals Invoiced to Date total; Total of all Purchase Orders, Change Orders, and Contract for street sweeping in STP files = \$1,379,545.69
4	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013		88%	\$ 1,411,828.00	\$ 1,411,828.00	\$ 1,239,742.00	\$ 172,086.00	Equals Invoiced to Date total; Unit Price Service Agreements in STP file; (NTE) amount = \$2,000,000
5	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	89%	\$ 421,752.65	\$ 421,752.65	\$ 374,988.58	\$ 46,764.07	Subconsultant Agreement (#1979-01) through CO #008 = \$593,889.58 (NTE)
6	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	89%	\$ 743,766.56	\$ 743,766.56	\$ 659,206.16	\$ 84,560.40	Equals Invoiced to date total; Total Subcontract and Change Orders (through CO #8) Total Revised Agreement Amount = \$753,678.63
	Pro USA (LT to Grady)	South Portal Trucking	V	24-Jul-2012	10/18/2012						
7	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	99%	\$ 277,322.57	\$ 277,322.57	\$ 275,394.34	\$ 1,928.23	Equals Invoiced to Date total; Revised Subconsultant Agreement through CO #012 = \$296,381.58 (NTE)
	On-Site Environmental Inc. (LT to Greylock)	Environmental Analytical Testing	V	14-Dec-2011	Active						
8	J. Kaiser & Associates (Added on #42)	DBE Coordinator - Consulting	V	30-Apr-2014	Active	94%	\$ 110,571.20	\$ 110,571.20	\$ 103,621.20	\$ 6,950.00	Equals Invoiced to Date total; Subconsultant Agreement (5050-01) through CO #3 Total Revised Subcontract Amount (NTE) = \$200,571.20
	PROUSA (LT to Marshbank) (Added on #40)	Trucking	S								
9	Meeds Environmental (Added on #50)	Filter Press	Need	2-Apr-2015			\$ 30,140.00	\$ 30,140.00		\$ 30,140.00	Equals Invoiced to Date total; Subcontract Agreement through CO #001 = \$93,598.40
10	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	90%	\$ 365,110.01	\$ 365,110.01	\$ 327,924.43	\$ 37,185.58	Equals Invoiced to Date total; Subcontract Agreement through CO #001 = \$931,260.00
11	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	91%	\$ 5,102,281.75	\$ 5,102,281.75	\$ 4,648,729.00	\$ 453,552.75	Equals Invoiced to Date total; Subcontract (#1977-01) through CO #006 = \$5,788,977.75
12	Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	95%	\$ 765,130.73	\$ 765,130.73	\$ 727,018.23	\$ 38,112.50	Contract and Change Orders in STP files (through #13) = \$1,291,150 (Total Not to Exceed - Unit Price Agreement)
13	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	90%	\$ 328,973.50	\$ 328,973.50	\$ 296,486.50	\$ 32,487.00	Equals Invoiced to Date total; (PO No 2399-DB10) Agreement through CO #008 = \$408,678.28
14	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	99%	\$ 788,393.74	\$ 788,393.74	\$ 779,490.00	\$ 8,903.74	Equals Invoiced to Date total; through CO #001 Total Revised Agreement Amount = \$884,170
28	Quality Woodworking (Added on #52)	Wood Benches NOB	Need	2-Jun-2015		0%		\$ 60,625.00		\$ 60,625.00	Subcontract = \$60,625
15	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	90%	\$ 833,637.00	\$ 833,637.00	\$ 753,723.00	\$ 79,914.00	Equals Invoiced to Date total; Subcontract Agreement through CO#002 = \$1,000,000
16	Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	97%	\$ 5,904,210.37	\$ 7,911,992.77	\$ 7,639,052.00	\$ 272,940.77	Equals Invoiced to Date total; through CO #002 Total Revised Agreement Amount = \$7,911,992.77
17	Transcon Company LLC	Underground Electrical Duct Bank Work	S	12-Dec-2013	Active	100%	\$ 2,302,776.64	\$ 2,319,233.31	\$ 2,312,336.49	\$ 6,896.82	Subcontract and Change Orders (thru CO #6) Total Revised Final Agreement Amount = \$2,319,233.31
18	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014			\$ 12,500.96	\$ 12,500.96		\$ 12,500.96	Subcontract Agreement = \$15,000.00 (NTE)
	VENDORS										
19	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 296,805.36	\$ 296,805.36	\$ 296,566.23	\$ 239.13	Equals Invoiced to date total; Purchase Order Agreement; Total PO's in STP files = \$495,835.54
20	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	91%	\$ 62,164.19	\$ 62,164.19	\$ 56,636.31	\$ 5,527.88	Purchase Order Agreement; Total PO's and CO's (through CO #001) = \$62,809.56
21	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	99%	\$ 259,025.63	\$ 259,025.63	\$ 255,490.13	\$ 3,535.50	Equals Invoiced to Date total; Total of Purchase Orders in STP Files = \$303,823.12
22	Mobile Electrical Distributors (Added on #45)	Electrical Supply	Need	25-Nov-2014	Active	100%	\$ 157,391.55	\$ 157,391.55	\$ 156,700.24	\$ 691.31	Purchase Order DB-188 Total Original Subcontract Amount = \$250,000
23	Quality Discount Supplies & Services (John W. Quadec)	Office Supplies	R	NA	Active	92%	\$ 5,966.35	\$ 5,966.35	\$ 5,490.80	\$ 475.55	Equals Invoiced to Date total; Total of all Purchase Orders in STP files = \$6,180.43
24	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		97%	\$ 2,478,644.24	\$ 2,478,644.24	\$ 2,394,730.24	\$ 83,914.00	Total of all Purchase Orders and Change Orders for structural steel supply in STP files = \$2,613,396.11
25	The Bag Lady	Costruction Entrance Plates & Straw bales	R	NA	Active	100%	\$ 292,541.74	\$ 292,541.74	\$ 291,329.78	\$ 1,211.96	Equals Invoiced to Date total; Total of all Purchase Orders in STP files = \$298,494.45
26	United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	87%	\$ 5,698.09	\$ 5,698.09	\$ 4,947.27	\$ 750.82	Total of Subcontract and Purchase Orders = \$79,250
27	Wayron	Fabrication	M	9-Jan-2012	Active	100%	\$ 2,708,210.03	\$ 2,708,210.03	\$ 2,706,715.39	\$ 1,494.64	Total of all Purchase Orders and Change Orders for TBM struts and TBM junk ring channels in STP files = \$2,714,239.96
	LOWER TIER										
	FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)										
28	Savage Logistics, LLC (LT to Lining Precast)	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	V	23-Jul-2013		98%	\$ 1,884,010.00	\$ 1,884,010.00	\$ 1,840,207.84	\$ 43,802.16	Equals Invoiced to date total; Purchase Order #797; New Total Contract amount through Change Order #15 = \$4,937,928.43
	HNTB (Non-DBE sub)										
29	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 937,205.53	\$ 937,205.53	\$ 934,990.33	\$ 2,215.20	Equals Invoiced to Date total; New Total Not to exceed amount (Contract #46055) through Supplement No. 13 = \$536,873.50; New Total Not to exceed amount (Contract #51761) through Supplement No. 03 = \$416,300.00; Total Value = \$536,873.50 + \$416,300.00 = \$953,173.50 (NTE).
30	Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	94%	\$ 1,053,181.53	\$ 1,053,181.53	\$ 990,328.53	\$ 62,853.00	Equals Invoiced to date total; Supplement No. 6 Revised Budget = \$1,066,854
31	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015			\$ 16,007.50	\$ 16,007.50		\$ 16,007.50	Subcontract Agreement = \$50,000 (NTE)
32	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	95%	\$ 407,541.36	\$ 407,541.36	\$ 387,811.36	\$ 19,730.00	Equals Invoiced to Date total; Subconsultant Agreement = \$418,253
33	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	89%	\$ 108,940.00	\$ 108,940.00	\$ 97,420.00	\$ 11,520.00	Supplemental Agreement No. 4 = \$111,680 (NTE)
	JH KELLY - DESERT MECHANICAL (Non-DBE sub)										
34	Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	98%	\$ 749,934.92	\$ 760,949.98	\$ 746,395.10	\$ 14,554.88	Purchase Order (12-9-1000-09) plus Change Orders = \$760,949.98
	JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)										
35	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	99%	\$ 1,863,827.88	\$ 4,235,528.11	\$ 4,202,961.11	\$ 32,567.00	Equals Invoiced to Date total; Subcontract #1533 through CO #012 = \$4,235,528.11
	JH KELLY - FISK ELECTRIC (Non-DBE sub)										
36	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		99%	\$ 4,302,180.75	\$ 5,055,670.34	\$ 5,021,920.34	\$ 33,750.00	Total value of Purchase Order (PO801006-0572A) and Change Orders (thru #13) = \$5,688,963.90

EXHIBIT A: ATTACHMENT # 2
DBE COMMITMENT VALIDATION- PROGRESS REPORT #53 vs. #50

8606 S.016 .05	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Invoiced to Date	#53 Commitment	#50 Commitment	#53 - #50 Commitment Change	REMARKS
37	JH KELLY - SICE (Non-DBE sub)										
	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #52)	Electrical contractor	S	1-May-2015		0%		\$ 2,758,729.43		\$ 2,758,729.43	Subcontract = \$270,800 (NTE)
	MAYES TESTING ENGINEERS, INC. (Non-DBE sub)										
38	Pacific Geo Engineering (LT to Mayes)	Soil Compaction Testing Services	V	4-Jan-2013	Active	60%	\$ 45,617.00	\$ 45,617.00	\$ 27,440.00	\$ 18,177.00	Hourly Rate Agreement
	NCM (Non-DBE sub)										
39	Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	99%	\$ 18,651.80	\$ 18,651.80	\$ 18,373.05	\$ 278.75	Equals Invoiced to date total; Subcontract Agreement for "Not to Exceed" amount to be determined per T&M Invoice and added by Change Order in binder; last increase by Change Order #2 in STP file for a total of \$18,373.05
	Northwest Asphalt (Non-DBE sub)										
40	*OMA (LT to Northwest Asphalt) (Added on #39)	Trucking	Need	26-Feb-2014		98%	\$ 58,236.25	\$ 58,236.25	\$ 57,236.25	\$ 1,000.00	Equals Invoiced to date total; Total Subcontract Agreement through CO #004 = \$60,000
	SOLDATA - Holocene Drilling (Non-DBE sub)										
41	Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	Need	8-Apr-2015		0%	\$ 32,849.54	\$ 32,849.54		\$ 32,849.54	Equals Invoiced to Date total; Subcontract (NTE) = \$72,197.50
	US Electric (Non-DBE sub) (Added on #50)										
42	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015		13%	\$ 394,805.86	\$ 394,805.86	\$ 51,783.17	\$ 343,022.69	Equals Invoiced to Date total; Total Subcontract Agreement through CO #1 = \$1,400,000.00 (NTE)
							\$ 89,305,915.07	\$ 100,302,136.64	\$ 95,354,991.60	\$ 4,947,145.04	

EXHIBIT A: ATTACHMENT # 3
DBE INVOICED TO DATE VALIDATION- PROGRESS REPORT #53 vs #50

8606 S.016 .05	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Commitment	#53 Invoiced to Date	#50 Invoiced to Date	#53 - #50 Invoiced
	FIRST TIER									
1	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	66%	\$ 93,580.86	\$ 93,580.86	\$ 61,745.86	\$ 31,835.00
2	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	96%	\$ 1,218,533.90	\$ 1,218,533.90	\$ 1,175,147.50	\$ 43,386.40
3	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013		88%	\$ 1,411,828.00	\$ 1,411,828.00	\$ 1,239,742.00	\$ 172,086.00
4	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	89%	\$ 421,752.65	\$ 421,752.65	\$ 374,988.58	\$ 46,764.07
5	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	89%	\$ 743,766.56	\$ 743,766.56	\$ 659,206.16	\$ 84,560.40
6	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	99%	\$ 277,322.57	\$ 277,322.57	\$ 275,394.34	\$ 1,928.23
7	J. Kaiser & Associates (Added on #42)	DBE Coordinator - Consulting	V	30-Apr-2014	Active	94%	\$ 110,571.20	\$ 110,571.20	\$ 103,621.20	\$ 6,950.00
8	Marshbank	Sewer Relocation	S	7-Aug-2012	Active	100%	\$ 1,779,638.01	\$ 1,531,494.58	\$ 1,511,524.17	\$ 19,970.41
9	Meeds Environmental (Added on #50)	Filter Press	Need	2-Apr-2015			\$ 30,140.00	\$ 30,140.00		\$ 30,140.00
10	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	90%	\$ 365,110.01	\$ 365,110.01	\$ 327,924.43	\$ 37,185.58
11	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	91%	\$ 5,102,281.75	\$ 5,102,281.75	\$ 4,648,729.00	\$ 453,552.75
12	Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	95%	\$ 765,130.73	\$ 765,130.73	\$ 727,018.23	\$ 38,112.50
13	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	90%	\$ 328,973.50	\$ 328,973.50	\$ 296,486.50	\$ 32,487.00
14	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	99%	\$ 788,393.74	\$ 788,393.74	\$ 761,281.74	\$ 27,112.00
15	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	90%	\$ 833,637.00	\$ 833,637.00	\$ 753,723.00	\$ 79,914.00
16	Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	97%	\$ 7,911,992.77	\$ 5,904,210.37	\$ 3,780,052.48	\$ 2,124,157.89
17	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014			\$ 12,500.96	\$ 12,500.96		\$ 12,500.96
	VENDORS									
18	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 296,805.36	\$ 296,805.36	\$ 296,566.23	\$ 239.13
19	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	91%	\$ 62,164.19	\$ 62,164.19	\$ 56,636.31	\$ 5,527.88
20	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	99%	\$ 259,025.63	\$ 259,025.63	\$ 255,490.13	\$ 3,535.50
21	Mobile Electrical Distributors (Added on #45)	Electrical Supply	Need	25-Nov-2014	Active	100%	\$ 157,391.55	\$ 157,391.55	\$ 156,700.24	\$ 691.31
22	Quality Discount Supplies & Services (John W. Charles)	Office Supplies	R	NA	Active	92%	\$ 5,966.35	\$ 5,966.35	\$ 5,490.80	\$ 475.55
23	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		97%	\$ 2,478,644.24	\$ 2,478,644.24	\$ 2,394,730.24	\$ 83,914.00
24	The Bag Lady	Costruction Entrance Plates & Straw bales	R	NA	Active	100%	\$ 292,541.74	\$ 292,541.74	\$ 291,329.78	\$ 1,211.96
25	United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	87%	\$ 5,698.09	\$ 5,698.09	\$ 4,747.27	\$ 950.82
26	Wayron	Fabrication	M	9-Jan-2012	Active	100%	\$ 2,708,210.03	\$ 2,708,210.03	\$ 2,706,715.39	\$ 1,494.64
	LOWER TIER									
	FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)									
27	Savage Logistics, LLC (LT to Lining Precast)	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	V	23-Jul-2013		98%	\$ 1,884,010.00	\$ 1,884,010.00	\$ 1,840,207.84	\$ 43,802.16
	HNTB (Non-DBE sub)									
28	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 937,205.53	\$ 937,205.53	\$ 934,990.33	\$ 2,215.20
29	Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	94%	\$ 1,053,181.53	\$ 1,053,181.53	\$ 990,328.53	\$ 62,853.00
30	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015			\$ 16,007.50	\$ 16,007.50		\$ 16,007.50

DBE INVOICED TO DATE VALIDATION- PROGRESS REPORT #53 vs #50

\$100,302,136.64	\$ 89,305,915.07	\$ 83,813,275.39	\$ 5,492,639.68
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EXHIBIT A: ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION- PROGRESS REPORT #53 vs #50

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.05

	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Total Payments this Report (July)	#53 Total Payments to Date (July)	#50 Total Payments to Date (May)	Compare Total Pymts to Date (#53 - #50)	Variance
	FIRST TIER										
1	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	66%	\$ 3,000.00	\$ 91,180.86	\$ 61,745.86	\$ 29,435.00	\$ (26,435.00)
2	CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%		\$ 564,836.03	\$ 551,398.53	\$ 13,437.50	\$ (13,437.50)
3	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	96%	\$ 18,540.00	\$ 1,211,507.50	\$ 1,164,347.50	\$ 47,160.00	\$ (28,620.00)
4	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013		88%	\$ 114,724.00	\$ 1,411,828.00	\$ 1,239,742.00	\$ 172,086.00	\$ (57,362.00)
5	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	89%	\$ 34,895.94	\$ 419,414.71	\$ 374,988.85	\$ 44,425.86	\$ (9,529.92)
6	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	89%	\$ 76,576.35	\$ 735,782.51	\$ 659,206.16	\$ 76,576.35	\$ -
7	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	99%	\$ 929.40	\$ 276,323.74	\$ 273,616.01	\$ 2,707.73	\$ (1,778.33)
8	J. Kaiser & Associates (Added on #42)	DBE Coordinator - Consulting	V	30-Apr-2014	Active	94%		\$ 110,571.20	\$ 103,621.20	\$ 6,950.00	\$ (6,950.00)
9	Marshbank	Sewer Relocation	S	7-Aug-2012	Active	100%		\$ 1,454,920.83	\$ 1,435,947.94	\$ 18,972.89	\$ (18,972.89)
10	Meeds Environmental (Added on #50)	Filter Press	Need	2-Apr-2015			\$ 2,740.00	\$ 27,400.00		\$ 27,400.00	\$ (24,660.00)
11	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	90%	\$ 12,785.64	\$ 360,114.01	\$ 322,488.43	\$ 37,625.58	\$ (24,839.94)
12	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	91%	\$ 144,063.50	\$ 4,944,101.50	\$ 4,507,473.50	\$ 436,628.00	\$ (292,564.50)
13	Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	95%	\$ 19,040.00	\$ 765,130.73	\$ 707,927.73	\$ 57,203.00	\$ (38,163.00)
14	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	90%	\$ 10,829.00	\$ 318,144.50	\$ 285,657.50	\$ 32,487.00	\$ (21,658.00)
15	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	99%		\$ 788,393.74	\$ 747,725.74	\$ 40,668.00	\$ (40,668.00)
16	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	90%	\$ 9,936.00	\$ 800,517.00	\$ 741,392.50	\$ 59,124.50	\$ (49,188.50)
17	Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	97%	\$ 1,285,937.40	\$ 5,609,449.86	\$ 3,216,994.44	\$ 2,392,455.42	\$ (1,106,518.02)
18	Sundancer Electric Inc.	Tunnel Electrical	S	17-Jan-2013	Active	100%		\$ 4,590,215.14	\$ 4,534,847.06	\$ 55,368.08	\$ (55,368.08)
19	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014			\$ 3,764.20	\$ 12,500.96		\$ 12,500.96	\$ (8,736.76)
	VENDORS										
20	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%		\$ 296,805.36	\$ 296,566.23	\$ 239.13	\$ (239.13)
21	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	91%	\$ 1,702.97	\$ 62,164.19	\$ 56,636.31	\$ 5,527.88	\$ (3,824.91)
22	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	99%	\$ 1,354.69	\$ 257,344.15	\$ 255,490.13	\$ 1,854.02	\$ (499.33)
23	Mobile Electrical Distributors (Added on #45)	Electrical Supply	Need	25-Nov-2014	Active	100%	\$ 108.94	\$ 157,391.55	\$ 132,851.70	\$ 24,539.85	\$ (24,430.91)
24	Quality Discount Supplies & Services (Added on #45)	Office Supplies	R	NA	Active	92%	\$ 475.55	\$ 5,966.35	\$ 5,490.80	\$ 475.55	\$ -
25	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		97%	\$ 82,358.00	\$ 2,477,088.24	\$ 2,197,296.24	\$ 279,792.00	\$ (197,434.00)
26	The Bag Lady	Costruction Entrance Plates & Straw bales	R	NA	Active	100%		\$ 292,541.74	\$ 288,671.10	\$ 3,870.64	\$ (3,870.64)
27	United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	87%	\$ 91.90	\$ 5,698.09	\$ 1,035.12	\$ 4,662.97	\$ (4,571.07)
28	Wayron	Fabrication	M	9-Jan-2012	Active	100%		\$ 2,708,210.03	\$ 2,706,715.39	\$ 1,494.64	\$ (1,494.64)
	LOWER TIER										
	FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)										
29	Savage Logistics, LLC (LT to Lining Precast)	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	V	23-Jul-2013		98%		\$ 1,884,010.00	\$ 1,858,316.67	\$ 25,693.33	\$ (25,693.33)
	HNTB (Non-DBE sub)										
30	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%		\$ 930,605.48	\$ 912,883.88	\$ 17,721.60	\$ (17,721.60)
31	Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	94%	\$ 17,346.06	\$ 1,037,887.89	\$ 978,177.53	\$ 59,710.36	\$ (42,364.30)
32	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015				\$ 4,892.50		\$ 4,892.50	\$ (4,892.50)

EXHIBIT A: ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION- PROGRESS REPORT #53 vs #50

33	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	95%	\$ 4,687.50	\$ 404,934.13	\$ 387,617.13	\$ 17,317.00	\$ (12,629.50)
34	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	89%	\$ 2,888.00	\$ 106,230.90	\$ 95,286.90	\$ 10,944.00	\$ (8,056.00)
	Holocene Drilling Inc (Non-DBE sub)										
35	Yonemitsu Geological Services	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	V	20-Jul-2012	Active	100%		\$ 123,517.12	\$ 105,005.77	\$ 18,511.35	\$ (18,511.35)
	JH KELLY (Non-DBE sub)										
36	Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	100%	\$14,527.40	\$ 351,338.03	\$ 293,308.23	\$ 58,029.80	\$ (43,502.40)
	JH KELLY - DESERT MECHANICAL (Non-DBE sub)										
37	Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	98%	\$ 110,837.42	\$ 572,906.30	\$ 212,430.17	\$ 360,476.13	\$ (249,638.71)
	JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)										
38	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1488	S	1-May-2013	4/1/2015	100%	\$ 53,710.27	\$ 477,473.98	\$ 423,763.71	\$ 53,710.27	\$ -
39	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	99%	\$ 46,830.80	\$ 1,727,223.56	\$ 1,655,184.54	\$ 72,039.02	\$ (25,208.22)
	JH KELLY - FISK ELECTRIC (Non-DBE sub)										
40	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R	20-Apr-2013		100%	\$ 728,102.34	\$ 5,661,110.43	\$ 4,933,008.44	\$ 728,101.99	\$ 0.35
41	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		99%	\$ 156,992.77	\$ 4,302,180.75	\$ 4,112,500.23	\$ 189,680.52	\$ (32,687.75)
	JH KELLY - SICE (Non-DBE sub)										
42	Sundancer Electric (LT to SICE, 3rd tier under JH Kelly)	Electrical contractor	S	1-Jan-2014	1/1/2014	100%		\$ 4,249.04	\$ 3,718.85		\$ (530.19)
43	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #49)	Electrical contractor	S	28-Jan-2014		100%		\$ 22,730.65		\$ 530.19	
44	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #52)	Electrical contractor	S	1-May-2015		0%				\$ 22,730.65	
	MAYES TESTING ENGINEERS, INC. (Non-DBE sub)										
45	Pacific Geo Engineering (LT to Mayes)	Soil Compaction Testing Services	V	4-Jan-2013	Active	60%		\$ 45,617.00	\$ 27,440.00	\$ 18,177.00	\$ (18,177.00)
	NCM (Non-DBE sub)										
46	Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	99%		\$ 18,373.05	\$ 14,584.68	\$ 3,788.37	\$ (3,788.37)
	Northwest Asphalt (Non-DBE sub)										
47	*OMA (LT to Northwest Asphalt) (Added on #39)	Trucking	Need	26-Feb-2014		98%		\$ 55,324.43	\$ 54,374.43	\$ 950.00	\$ (950.00)
	SOLDATA - KPG (Non-DBE sub)										
48	Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	100%		\$ 715,833.07	\$ 605,582.38	\$ 110,250.69	\$ (110,250.69)
	SOLDATA - Holocene Drilling (Non-DBE sub)										
49	Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	Need	8-Apr-2015		0%	\$ 6,736.52	\$ 6,736.52		\$ 6,736.52	\$ -
	US Electric (Non-DBE sub) (Added on #50)										
50	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015		13%	\$ 158,027.77	\$ 315,186.21	\$ -	\$ 315,186.21	\$ (157,158.44)
							\$ 3,124,540.33	\$ 87,847,487.44	\$ 81,866,641.39	\$ 5,980,846.05	\$ (2,833,575.07)

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EXHIBIT A: ATTACHMENT # 5
DBE AMOUNT (AS AMENDED) VALIDATION- PROGRESS REPORT #53 vs #50

38	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1488	S	1-May-2013	4/1/2015	100%	\$ 628,754.60	\$ 502,604.20	\$ 53,710.27	\$ 477,473.98	\$ 477,473.98	\$ 423,763.71	\$ 53,710.27	
39	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	99%	\$ 4,235,528.11	\$ 1,863,827.88	\$ 46,830.80	\$ 1,727,223.56	\$ 1,727,223.56	\$ 1,655,184.54	\$ 72,039.02	
	JH KELLY - FISK ELECTRIC (Non-DBE sub)													
40	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R	20-Apr-2013		100%	\$ 5,688,963.90	\$ 5,661,110.43	\$ 728,102.34	\$ 5,661,110.43	\$ 3,396,666.26	\$ 2,959,805.06	\$ 436,861.20	
41	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		99%	\$ 5,055,670.34	\$ 4,302,180.75	\$ 156,992.77	\$ 4,302,180.75	\$ 2,581,308.45	\$ 2,467,500.14	\$ 113,808.31	
	MALCOLM (Non-DBE sub)													
42	Transcon (LT Malcom) (Added on #43)	Excavation	S	9-May-2014		100%	\$ 431,642.23	\$ 431,642.23		\$ 422,156.00	\$ 412,669.77	\$ -	\$ 412,669.77	
	MAYES TESTING ENGINEERS, INC. (Non-DBE sub)													
43	Pacific Geo Engineering (LT to Mayes)	Soil Compaction Testing Services	V	4-Jan-2013	Active	60%	\$ 45,617.00	\$ 45,617.00		\$ 45,617.00	\$ 45,617.00	\$ 27,440.00	\$ 18,177.00	
	SOLDATA - KPG (Non-DBE sub)													
44	Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	100%	\$ 1,093,130.55	\$ 767,488.92		\$ 715,833.07	\$ 715,833.07	\$ -	\$ 715,833.07	
	SOLDATA - Holocene Drilling (Non-DBE sub)													
45	Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	Need	8-Apr-2015		0%	\$ 32,849.54	\$ 32,849.54	\$ 6,736.52	\$ 6,736.52	\$ 6,736.52		\$ 6,736.52	
	US Electric (Non-DBE sub) (Added on #50)													
46	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015		13%	\$ 394,805.86	\$ 394,805.86	\$ 158,027.77	\$ 315,186.21	\$ 315,186.21	\$ -	\$ 315,186.21	
							\$ 100,302,136.64	\$ 89,305,915.07	\$ 3,124,540.33	\$ 87,847,487.44	\$ 67,972,919.28	\$ 62,022,459.41	\$ 5,950,459.87	



EXHIBIT B: Memorandum- Validation STP DBE Progress Report #53

September 14, 2015

TO: Bobby Forch, DBE Administrator AWV *2/18*

FROM: Dawn McIntosh, P.E. *WME*

SUBJECT: Validation STP Monthly DBE Progress Report No. 53

Review of STP Monthly DBE Progress Report No. 53 (Report No. 53) began 9/1/2015 and was completed on 9/9/2015 (See Attachment 1).

- DBE Contractual Requirement (Change Order 91)= \$96,000,000
- DBE Goal= 8% of total contract value
- Commitments= \$100,302,136.64
- Total Payments= \$87,847,487.44
- DBE Participation= \$67,972,919.28

STP reported 97 subcontractors with 170 subcontracts. Comparing Report No. 53 to Report No. 52 resulted in changes as follows:

- 24 Commitment changes totaling \$702,909.46 increase (Attachment 2)
- 30 Invoiced to Date changes totaling \$1,852,090.47 increase (Attachment 3)
- 33 Payments to Date changes totaling \$3,228,645.88 increase (Attachment 4)
- 31 DBE Amount (as Amended) changes totaling \$2,804,308.92 increase (Attachment 5)

The validation process focused on review of those subcontracts that resulted in the changes noted above. The DBE Validation Binders for Monthly DBE Report No. 53 (July 2015) were used to verify the information. However, when information was limited in the binders, records were validated using subcontractor files located in the STP office.

Commitment comparisons resulted in favorable remarks as reported by STP and logged on Attachment 2. All Commitments were validated, as shown on Attachment 2.

Invoiced to Date comparisons resulted in favorable remarks as reported by STP and logged on Attachment 3. All Invoices were validated, as shown on Attachment 3.

Payments for subcontracts reported by STP resulted in favorable remarks. All payments were validated, as shown on Attachment 4.

DBE Amount (as Amended) comparisons all resulted in favorable remarks as reported by STP and logged on Attachment 5. All payments to date were equal to or more than DBE Amount (as Amended) and all DBE Amounts (as Amended) were validated.

STP reported an increase of \$9,936.00 in DBE participation for trucking. This increase in trucking was associated with work performed by Savage Logistics. The trucking records were verified following the verification process, as approved by FHWA.

No new DBE subcontractors were added under this Report. Currently, 97 DBE firms have received subcontracts under this project. There were no existing subcontractors receiving new work under this report.

The current status of the DBE Subcontracts, regarding start dates, end dates, and retainage release dates may be found in Attachment #6.

A review of payroll reports showed the total hours reported on verified Certified Payrolls were 5,650.5. This was 158.25 hours less than the 5,808.75 hours reported by the contractor. The largest over-reporting of hours was 93 hours by JP Francis, 44.5 hours by SteelKorr, followed by 32.75 hours by OMA Trucking. This over-reporting can be attributed to the reporting cycle that subcontractors utilize, which does not correspond to the calendar month used in Certified Payroll. The breakdown, by skill craft, may be found in Attachment #7: DBE Certified Payrolls

Conclusion:

STP's Report No. 53 is acceptable.

The STP Binder for Report No. 53 was helpful for validating the invoiced and payment information, as well as a good portion of the commitments. However, in order to verify several commitment amounts it was necessary to review the STP files in order to complete validation documents.

Attachments:

1. STP DBE Progress Report No. 53
2. DBE Commitment Validation
3. DBE Invoiced to Date Validation
4. DBE Total Payments Validation
5. DBE Amount (as amended) Validation
6. Status of DBE Subcontracts
7. DBE Certified Payroll Hours Verification

cc: Paul Johnson. P.E.

Seattle Tunnel Partners
999 Third Avenue, Suite 2424
Seattle, WA 98104

WSDOT Contract No. 007999
Federal Aid No. BR-NH-STP-STPF-0099(111)
SR 99 Tunnel Project
Phone: 206-971-8701 Fax: 206-971-8702

Seattle Tunnel Partners

SR 99 Tunnel Project

Monthly DBE Progress Report No. 53

Progress Report Period: July 1, 2015 – July 31, 2015

Submission Date: Monday, August 31, 2015

DBE participation progress

Change Order 91 – Contractual Requirement:	\$96,000,000.00
DBE Goal:	8%
Current DBE commitments:	\$100,302,137.64
DBE participation:	\$68,008,059.28

Please see attached STP Form DBE09 for further details.

Current DBE Efforts

Opportunities

STP submitted our quarterly DBE action plan on July 31, 2015. The plan provided anticipated upcoming contracting opportunities where STP will work to maximize DBE participation. Remaining contracting opportunities are broken down by scope, estimated dollar value, and time frame the work is anticipated to be available. STP does not have additional work to add to this list for this month's report.

STP July RFPs/RFOs

STP discusses upcoming bids with WSDOT, OMWBE, and independent DBE Program Coordinator at bi-weekly STP Subcontracting Oversight Committees. At these meetings STP provides additional details and requests feedback from participants and incorporates suggestions.

1. Landscaping and irrigation: STP sent out the RFP on June 19, 2015 with a July 10, 2015 close date. STP only invited certified DBE firms to bid. Firms were invited that were identified in OMWBE's database as being certified to perform the work. STP also included a DBE firm not certified in the specific area of work that requested to be added and was working on expanding their areas of certification. The firm was identified through networking at NAMC meetings. STP called each firm to ensure they received the RFP and answer questions. STP had two DBE firms certified for the work bid by the bid close date. STP is proceeding to award this scope to the more competitive of the two DBE firms.
2. Site Concrete: STP sent out the RFP on June 19, 2015 with a July 10, 2015 close date. STP only invited certified DBE firms to bid. Firms were invited that were identified in OMWBE's

database as being certified to perform the work. STP also included a DBE firm not certified in site concrete that requested to be added to the bid from STP's outreach at a Tabor 100 meeting. STP worked with the DBE firm to go over the certification criteria for claiming credit and offered to have a meeting with the firm after the bid closed on other scopes the firm was certified for. STP called each firm to ensure they received the RFP and answer questions. STP had a site walk through in which one firm attended. STP extended the bid close date to 7/17/15 to provide additional time tied to a request for information (RFI). STP provided a conference call and extended the bid again to 7/24/15. One firm bid, a DBE firm certified for the work. STP is currently reviewing that bid with the DBE firm.

July DBE Contract Negotiations

STP negotiated change orders and purchase orders with DBE firms already on contract based on changes in information and/or work previously awarded. STP continues to work with subs on lower tier DBE participation.

STP worked with DBE firm DHD Trucking LLC and executed a change order to increase their hourly rate by 10.1%.

STP Outreach

STP conducts outreach in order to reach DBEs and provide information about the project, future contracting opportunities, contact information, and how to access work. STP also conducts outreach to encourage DBE firms to bid work on the project. STP is also working with WSDOT and OMWBE to provide information to the broader women and minority business community.

July Outreach

July 2, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP attended the NAMC WA meeting in order to continue to engage MBE/DBE firms and provide project and opportunity updates.

July 17, 2015, Washington Construction Design & Entrepreneurs (CDE)- Seattle

STP attended the CDE meeting and networked with minority and women owned businesses.

July 25, 2015, Tabor 100 General Membership Meeting

STP presented project updates and upcoming RFPs at the Tabor 100 membership meeting. STP also provided current DBE participation numbers and discussed the Backfill of the Access Shaft (trucking) RFP method.

August Outreach

August 6, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP attended the NAMC WA meeting in order to continue to engage MBE/DBE firms and provide project and opportunity updates.

August 6, 2015, Women in Business

Schwabe, Williamson & Wyatt sponsored women in business networking event. STP participated by

presenting on the SR 99 Tunnel Project. STP had participation from our project manager, commercial manager, assistant contracts manager, and consultant from CBE Strategic.

August 12, 2015, STP DBE Outreach and Engagement Meeting

STP brought management level project staff to South Seattle Community College Georgetown Campus to present on project status, opportunities, and details on the RFP for the Backfill of the Access Shaft. At the meeting Birch Equipment (DBE) discussed one-on-one with project staff that they had been communicating with STP subcontractor Crown Corr. STP followed up with Birch and discussed activities on this scope as well as other lower tier opportunities.

August 21, 2015, Washington Construction Design & Entrepreneurs (CDE)- Federal Way

STP attend the CDE meeting and provided an update on the Backfill of the Access shaft RFP and upcoming work. STP stayed after the meeting to talk with minority and women owned businesses interested in the project.

August 29, 2015, Tabor 100 General Membership Meeting

STP attended the Tabor 100 General Membership and provided an update on STP progress towards achieving the DBE goal, upcoming opportunities, and an update on the Backfill of the Access Shaft. After the meeting STP's consultant CBE Strategic talked with DBE firm DHD Trucking about their interest in the dump trucking opportunity. CBE Strategic also talked with R J Richards about future utility scopes.

Planned September Outreach

September 3, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP plans to attend the NAMC WA meeting in order to continue to engage MBE/DBE firms and provide project and opportunity updates. STP is scheduled to present on progress towards the DBE goal, opportunities, and provide an update on the Backfill of the Access Shaft.

September 18, 2015, Washington Construction Design & Entrepreneurs (CDE)- Bellevue

STP plans to attend the CDE meeting and network with minority, and women owned businesses.

September 26, 2015, Tabor 100 General Membership Meeting

STP plans to attend the Tabor 100 General Membership and provide project updates and information on upcoming opportunities.

Planned October Outreach

October 1, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP plans to attend the NAMC meeting and provide project updates and information on upcoming opportunities.

October 2, 2015, Tabor 100 Unity Gala

STP sponsored a table for the Tabor 100 Unity Gala.

October 16, 2015, Washington Construction Design & Entrepreneurs (CDE)- Federal Way

STP plans to attend the CDE meeting and network with minority, and women owned businesses.

October 31, 2015, Tabor 100 General Membership Meeting

STP plans to provide project updates and upcoming opportunities at the Tabor 100 membership meeting.

MONTHLY DBE PROGRESS REPORT (From DBE-09)
REPORT MONTH ENDING 7/31/2015

Contract:
Number: 007999

Contract Title:
AWV SR 99 Bored Tunnel Alternative Design-Build Project

Contract Amount (as amended): 1,371,764,482.83 % Complete: 74%
DBE Goal: 8%

Prime Contractor:
Seattle Tunnel Partners

Through 7/31/15 (all numbers exclude WSST)
Total payment to Prime to date: 1,021,717,686.12
Total amount invoiced to date: 1,046,839,754.62 Less WSST
Amount of last payment to Prime: 7,260,965.45

Date of last payment to Prime: 7/27/2015
Total of last payment to Prime: 7,260,965.45
Total value of DBE commitments: \$ 100,302,136.64

Total value of DBE amount (as Amended): \$ 67,972,919.28

Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
FIRST TIER	FIRST TIER								
AAR Testing Laboratories, Inc.	#D2F4708231	Testing	19-Dec-12	100%	\$ 720.00	\$ 720.00	COMPLETE	\$ 720.00	\$ 720.00
Advanced Underground Utilities	#D4M0023433	NOB Underground Utilities	12-Sep-14	52%	\$ 323,125.38	\$ 167,119.25		\$ 158,763.29	\$ -
Amaya Electric	#D5M0200177	Mitigation Buildings - Electrical	1-Aug-13	100%	\$ 24,237.20	\$ 24,237.20	COMPLETE	\$ 24,237.20	\$ 24,237.20
Bear Wood Windows	#D4F0022489	NOB/SOB - Furnish & Install Shades, Kitchen Cabinets	1-Aug-14	0%	\$ 31,605.00	\$ -		\$ -	\$ -
BESTCCLS INC	#D3M9319663	Survey	8-Feb-12	100%	\$ 189,938.00	\$ 189,938.00		\$ 189,938.00	\$ 189,938.00
C2PM	#D4F9620654	Design Quality Assurance Manager	1-Sep-11	100%	\$ 416,500.00	\$ 416,500.00	COMPLETE	\$ 416,500.00	\$ 416,000.00
Catherine Bassetti	#D2F2313819	Progress photography	5-Mar-12	100%	\$ 93,580.86	\$ 93,580.86	\$ 3,000.00	\$ 91,180.86	\$ 90,589.36
CivilTech Engineering	#D4M0018825	Design & Consulting	31-Jul-2012	100%	\$ 564,836.03	\$ 564,836.03		\$ 564,836.03	\$ 564,836.03
DBE Electric	#D2F1021272	Signals / Illumination; Electrical/ Bldg. Conduit; Underground Cable	28-Feb-12	100%	\$ 1,005,698.49	\$ 1,005,698.49		\$ 987,067.07	\$ 641,798.40
DHD Trucking	#D3M9620749	Street Sweeping	10-Jan-12	100%	\$ 1,218,533.90	\$ 1,218,533.90	\$ 18,540.00	\$ 1,211,507.50	\$ 1,211,507.50
Duncan Asphalt	#DM5M9822253	MOT-2 SB & SBOFF Paving and CSBC Supply	11-Apr-14		\$ 51,630.60	\$ 51,630.60		\$ 49,049.07	\$ -
Environmental Management Training	#D3M9820748	Safety Training	3-Jan-12	100%	\$ 22,575.00	\$ 22,575.00		\$ 22,345.00	\$ 22,345.00
EPC Consultants, Inc.	#D4M0022954	Tunnel Quality Assurance	8-Jul-2013	100%	\$ 1,411,828.00	\$ 1,411,828.00	\$ 114,724.00	\$ 1,411,828.00	\$ 1,376,688.00
Exeltech Consulting Inc	#D4M2304220	PreConstruction Condition Survey	4-Aug-2011	100%	\$ 421,752.65	\$ 421,752.65	\$ 34,895.94	\$ 419,414.71	\$ 419,414.71
Fryer-Knowles, Inc.	#D2F5010810	Ceramic Tile: North Operations Building and South Operations Building	22-Nov-2013	0%	\$ 226,954.00	\$ -		\$ -	\$ -
Garner Construction	#D2F5108989	24/7 Crane Rental w/ Operator for Access	29-Aug-2014	100%	\$ 732,184.83	\$ 732,184.83		\$ 722,184.83	\$ 722,184.83
Global Concrete Cutting	#D3M0022412	Concrete Sawing/Cutting	31-Oct-2013	100%	\$ 1,700.00	\$ 1,700.00		\$ 1,615.00	\$ 1,615.00
Global Geophysics	#M4M0021256	Vibration Monitoring	21-May-2012	100%	\$ 743,766.56	\$ 743,766.56	\$ 76,576.35	\$ 735,782.51	\$ 735,782.51
Grady Excavating	#D2W0020267	South Portal Trucking	11-Apr-2012	100%	\$ 881,412.65	\$ 881,412.65	COMPLETE	\$ 881,412.65	\$ 724,412.60
Pro USA (LT to Grady)	#D3M9422332	South Portal Trucking	24-Jul-2012	100%			COMPLETE		\$ 30,469.50
Greylock Consulting LLC	#D2F8019850	Environmental Consulting Services	1-Oct-2011	100%	\$ 277,322.57	\$ 277,322.57	\$ 929.40	\$ 276,323.74	\$ 150,245.89
On-Site Environmental Inc (LT to Greylock)	#M3M0010381	Environmental Analytical Testing	14-Dec-2011	100%					\$ 70,003.75
J. Harper Contractors Inc.	#D4M5310119	Demolition and Material Crushing	1-Nov-2011	100%	\$ 1,473,764.00	\$ 1,473,764.00		\$ 1,473,764.00	\$ 1,455,382.26
J. Kelser & Associates	#D5F0023416	DBE Coordinator - Consulting	30-Apr-2014	100%	\$ 110,571.20	\$ 110,571.20		\$ 110,571.20	\$ 79,300.00
JP Francis & Associates, Inc.	#M3M0018112	Mitigation building - plumbing and mechanical	24-Jul-2013	100%	\$ 53,510.86	\$ 53,510.86		\$ 50,835.32	\$ 50,835.32
KBA Inc/ Kristen Betty & Associates Inc.	#D2F4711296	Quality Control Temporary Assistance (File Clerk); Inspection services	5-Dec-2012	100%	\$ 284,310.00	\$ 284,310.00		\$ 284,310.00	\$ 284,310.00
Leajak Concrete Construction Inc	#D3M5310714	Terminal 46 Hide Area BMP Relocation/	8-May-2012	100%	\$ 739,114.07	\$ 739,114.07	COMPLETE	\$ 739,114.07	\$ -
Global Concrete Cutting (LT to Leajak)	#D3M0022412	Concrete cutting	26-Jun-12	100%			COMPLETE		\$ -
Kiawa Trucking LLC (LT to Leajak)	#D3F48019933	Trucking	26-Jun-12	100%			COMPLETE		\$ -
Sunset Welding Inc. (LT to Leajak)	#D5M0018072	Rebar	30-Jun-12	100%			COMPLETE		\$ -
Lorache CAD/IT Services LLC	#D3M8218532	T-46 - RTG Pavement Strengthening	5-Apr-2012	100%	\$ 439,521.57	\$ 439,521.57		\$ 403,898.05	\$ -
Leajak Concrete Construction Inc (LT to Lorache)	#D3M5310714	Excavating, install crush rock and pour concrete	1-Jul-2012	100%					\$ 42,257.94
Sunset Welding Inc. (Subcontract to Leajak, 3rd tier)	#D5M0018072	Rebar	10-Jul-2012	100%			COMPLETE		\$ 7,800.00

Magnum Crane LLC	#D1M8719508	Crane, Maint, Operator, fuel, riggings	17-Dec-2012	100%	\$	62,847.55	\$	62,847.55		\$	62,847.55	\$	62,847.55	
Marshbank	#D1M0011507	Sewer Relocation	7-Aug-2012	86%	\$	1,779,638.01	\$	1,531,494.58		\$	1,454,920.83	\$	1,059,402.86	
Sundancer (LT to Marshbank)	#D1M0022607	Electrical	15-May-2014									\$	-	
ProUSA (LT to Marshbank)	#D3M0022331	Trucking										\$	942.50	
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Remove Underground Tank near Western	24-Oct-2012	100%	\$	10,802.00	\$	10,802.00	COMPLETE	\$	10,802.00	\$	10,802.00	
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Vac-truck services	18-Jul-2012	100%	\$	178,466.02	\$	178,466.02		\$	170,872.82	\$	170,872.82	
Meeds Environmental	#D3M0021813	Filter Press	2-Apr-2015		\$	30,140.00	\$	30,140.00	\$	2,740.00	\$	27,400.00		
MindSeekers, LLC	#D3M6917745	Temporary Staffing	27-Feb-2013	100%	\$	365,110.01	\$	365,110.01	\$	12,785.64	\$	360,114.01	\$	360,114.01
Neppel Electrical	#D5M0017938	Harrison Street Hangers and Conduit	31-Jul-2014	97%	\$	473,613.72	\$	457,086.23			\$	434,231.91	\$	434,231.91
Nolan Morrison	#D2F5522304	Document Control Consulting Svcs.	19-Sep-2011	100%	\$	39,800.00	\$	39,800.00	COMPLETE		\$	39,800.00	\$	-
Oatridge Security Group Inc	#D5M8421939	Security Guard Services	10-Oct-2011	100%	\$	5,102,281.75	\$	5,102,281.75	\$	144,063.50	\$	4,944,101.50	\$	4,930,607.50
OMA Construction Inc.	#D4M2316494	North & South Portal Hauling; Trucking hourly	25-Sep-2012	94%	\$	18,506,125.29	\$	17,426,583.90			\$	17,426,583.90	\$	14,279,412.99
C & E Transport Corp (LT to OMA)	#D3M0022750	Trucking	18-Nov-2012	100%								\$	21,834.68	
JMR Trucking (LT to OMA)	#D3M6917511	Trucking	1-Dec-2012	100%								\$	52,196.18	
Maks Dump Truck (LT to OMA)	#D3M0019934	Trucking	1-Dec-2012	100%								\$	240,215.73	
Ponglia Trucking Inc. (LT to OMA)	#M4M0019913	Trucking	17-Jan-2013	100%								\$	221,671.15	
Puget Sound Utilities (LT to OMA)	#D2F0022597	Trucking	17-Jul-2013	100%								\$	12,622.50	
SSB Trucking & Construction (LT to OMA)	#D4M1020033	Trucking	26-Jun-2013	100%								\$	-	
Tan Trucking (LT to OMA)	#D3M0020597	Trucking										\$	-	
Trinity Development (LT to OMA)	#D3M7217852	Trucking	17-Oct-2012	100%								\$	182,697.69	
OMA Construction Inc.	#D4M2316494	Safe Haven No. 003	11-Jan-2013	25%	\$	300,000.00	\$	73,603.70			\$	73,603.70	\$	-
		Environmental inspection & compliance, stormwater, scientist/documentation services												
Oneill Service Group	#D5M9820775		13-Feb-2012	100%	\$	765,130.73	\$	765,130.73	\$	19,040.00	\$	765,130.73	\$	638,913.90
Osiris Enterprises LLC	#D3M1021155	Janitorial Services	12-Jan-2012	100%	\$	328,973.50	\$	328,973.50	\$	10,829.00	\$	318,144.50	\$	173,343.96
Rose Super Clean and Park Management (LT to Osiris)	#D3M0020597	Janitorial Services	6-Apr-2012	100%								\$	139,327.54	
PRR, Inc.	#D4F3908454	Subconsultant - Public Information	22-Feb-2011	100%	\$	788,393.74	\$	788,393.74			\$	788,393.74	\$	781,998.06
Quality Woodworking	D3M0016768	Wood Benches NOB	2-Jun-2015	0%	\$	60,625.00								
Saez Consulting Engineers Inc. (dba SCE, Inc.)	#M5M0019808	Utility Monitoring Professional Services	31-Aug-2012	100%	\$	174,926.15	\$	174,926.15			\$	174,926.15	\$	174,926.15
Savage Logistics, LLC	#D2F8020092	Freight	28-Mar-2013	100%	\$	833,637.00	\$	833,637.00	\$	9,936.00	\$	800,517.00	\$	800,517.00
Sea Tac Sweeping Service (dba Al Vinson)	#D3M6015063	Street Sweeping	5-Dec-2011	100%	\$	8,360.00	\$	8,360.00	COMPLETE		\$	8,360.00	\$	8,360.00
ST Fabrication/ Jabez	#D4M0018443	T-46 Crane Maintenance Facility	5-Jun-2012	100%	\$	1,858,973.12	\$	1,858,973.12			\$	1,848,973.12	\$	-
Adept Mechanical (LT to ST Fabrication)	#D3M0018841	Mechanical	25-Sep-2012	100%								\$	-	
Emerald City Weatherproofers (LT to ST Fabrication)	#D4M5111591	Weather Barrier Waterproofing	1-Oct-2012	100%					COMPLETE			\$	33,703.35	
Gibson Door & Millwork (LT to ST Fabrication)	#D2F5112317	Door and Hardware Installation	17-Sep-2012	100%					COMPLETE				\$	10,452.00
ST Fabrication/ Jabez	#D4M0018443	T-46 Reefer Racks	30-May-2012	100%	\$	1,949,279.54	\$	1,946,410.88			\$	1,946,410.88	\$	1,439,053.52
Steelkorr	#D4M8822652	Furnish and install all structural steel	31-Oct-2013	75%	\$	7,911,992.77	\$	5,904,210.37	\$	1,285,937.40	\$	5,609,449.86	\$	5,044,947.64
Sundancer Electric Inc.	#D1M8522607	Tunnel Electrical	17-Jan-2013	100%	\$	4,590,215.14	\$	4,590,215.14			\$	4,590,215.14	\$	-
Transcon Company LLC	#D4M1022071	Underground Electrical Duct Bank Work	12-Dec-2013	99%	\$	2,319,233.31	\$	2,302,776.64			\$	2,302,776.64	\$	2,006,706.13
TripleNet Technologies	#D5M0018439	STP Website	9-Jan-2012	100%	\$	7,762.00	\$	7,762.00	COMPLETE		\$	7,762.00	\$	7,762.00
United Professional Caulking	#D5F0016236	Harrison Street Expansion Joints	12-Aug-2014	100%	\$	79,250.00	\$	79,250.00			\$	75,287.50	\$	75,287.50
Washington State Trucking	#D3M0021431	Haul and dispose of 130 tunnel segments	12-Aug-2014	100%	\$	184,470.00	\$	184,470.00			\$	184,331.46	\$	-
West Coast Printing	#D4M0100930	Business Cards	NA	100%	\$	19,402.45	\$	19,402.45			\$	19,402.45	\$	19,402.45
Yonemitsu Geological Services	#D4M0013447	Soil conditioning mapping at access shaft	4-Dec-2014	100%	\$	12,500.96	\$	12,500.96	\$	3,764.20	\$	12,500.96	\$	11,730.96
Teknograf (LT to Yonemitsu Geological)	D2F0020449	Drafting Services	26-Apr-2015										\$	770.00
VENDORS	VENDORS													
Birch Equipment Rental & Sales, Inc.	#D2F0022284	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	NA	100%	\$	296,805.36	\$	296,805.36			\$	296,805.36	\$	178,083.22
Excel Supply Company	#D4F2312899	Safety Supplies, Janitorial supplies, jackets & hats	NA	100%	\$	62,164.19	\$	62,164.19	\$	1,702.97	\$	62,164.19	\$	37,108.08
Highway Specialties LLC	#D2F0019389	Construction Signage, Traffic Drums, lights,	NA	100%	\$	259,025.63	\$	259,025.63	\$	1,354.69	\$	257,344.15	\$	154,406.49
Mobile Electrical Distributors	#D2F0017012	Electrical Supply	25-Nov-2014	100%	\$	157,391.55	\$	157,391.55	\$	108.94	\$	157,391.55	\$	94,434.93

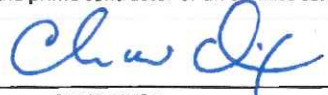
Quality Discount Supplies & Services (John W.	#D3M0700021	Office Supplies	NA	100%	\$	5,966.35	\$	5,966.35	\$	475.55	\$	5,966.35	\$	3,579.81
ST Fabrication/ Jabez	#D4M0018443	Fabrication & Supply	NA	100%	\$	2,478,644.24	\$	2,478,644.24	\$	82,353.00	\$	2,477,088.24	\$	1,979,630.28
The Bag Lady	#D2F0016394	Costruction Entrance Plates & Straw bales	NA	100%	\$	292,541.74	\$	292,541.74			\$	292,541.74	\$	175,525.04
United Reprographics	#D3M0017126	Business cards & printing services	12-Jan-2015	100%	\$	5,698.09	\$	5,698.09	\$	91.90	\$	5,698.09	\$	5,698.09
Wayron	#D6F0021571	Fabrication	9-Jan-2012	100%	\$	2,708,210.03	\$	2,708,210.03			\$	2,708,210.03	\$	2,706,660.03
LOWER TIER	LOWER TIER													
AMEC (Non-DBE sub)	AMEC													
NVL Laboratories (LT to AMEC)	#D4M5014199	Asbestos Analysis, sampling	12-Dec-2011	100%	\$	16,255.02	\$	16,255.02			\$	16,255.02	\$	16,255.02
BASF (Non-DBE sub) - EASI	BASF													
JP Francis & Associates (LT to BASF, 3rd tier under EASI)	#M3M0018112	Maintenance, Repairs & Modifications on Soil Conditioning Blending, Pump Unit.	6-Aug-2013	100%	\$	2,418.13	\$	2,418.13			\$	2,418.13	\$	-
BASF - KTI Logistics (Non-DBE sub)	BASF													
Savage Logistics, LLC (LT to KTI Logistics, LLC.)	#D2F8020092	Freight	17-Jun-2013	100%	\$	14,949.00	\$	14,949.00			\$	14,949.00	\$	14,949.00
FD THOMAS (Non-DBE sub)	FD THOMAS													
Cascade Concrete Products Co., Inc. (LT to FD	#D2F4817643	Waterproofing Material Supplier	4-Sep-2013	100%	\$	912,918.60	\$	912,918.60			\$	912,918.60	\$	547,751.16
Frank Coluccio Construction Company (FCCC) (Non-DBE sub)	FCCC													
CivilTech Engineering (LT to FCCC)	#D4M0018825	Design services	1-Sep-2011	100%	\$	92,527.50	\$	92,527.50			\$	92,527.50	\$	92,527.50
DBE Electric (LT to FCCC)	#2F1021272	Electrical MOT Ph. 1A.2	3-Dec-2011	100%	\$	172,944.68	\$	172,944.68			\$	172,944.68	\$	122,485.04
Grady Excavating, Inc. (LT to FCCC)	#D2W0020267	Trucking	3-Dec-2011	100%	\$	47,229.49	\$	47,229.49			\$	47,229.49	\$	47,229.49
Rebar International Inc. (LT to FCCC)	#D2F2606440	Pile caps at micro pile; Supply and install reinforcing steel	23-May-2012	100%	\$	28,415.44	\$	28,415.44			\$	28,415.44	\$	28,415.44
Transcon (LT to FCCC)	#D4M1022071	Install electrical conduit	12-Jan-2012	100%	\$	203,495.69	\$	203,495.69			\$	203,495.69	\$	203,495.69
Frank Coluccio Construction Company - FD Thomas (Non-DBE sub)	FCCC - FD Thomas													
AAR Testing Laboratories Inc (LT to FD Thomas, 3rd tier under FCCC)	#D2F4708231	Laboratory Testing	1-Aug-2012	100%	\$	19,586.50	\$	19,586.50			\$	19,586.50	\$	19,586.50
FPS ENCON PRECAST, LLC now Lining Precast (Non-Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Transport precast tunnel liner segments. One	14-Jun-2013	100%	\$	81,558.00	\$	81,558.00			\$	81,558.00	\$	81,558.00
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	23-Jul-2013	100%	\$	1,884,010.00	\$	1,884,010.00			\$	1,884,010.00	\$	1,858,316.67
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Pick up trailer & insurance monthly payment	20-Nov-2013	100%	\$	17,464.78	\$	17,464.78			\$	17,464.78	\$	-
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Rental of 2 diesel heaters & delivery (PO 1335)	5-Dec-2013	100%	\$	2,143.97	\$	2,143.97			\$	2,143.97	\$	-
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Freight (PO 778)	26-Jun-2013	100%	\$	828.00	\$	828.00			\$	828.00	\$	828.00
HARRIS REBAR (Non-DBE sub)	HARRIS REBAR													
Rebar International Inc. (LT to Harris Rebar)	#D2F2606440	Install reinforcing steel bars	1-Aug-2013	100%	\$	85,047.31	\$	85,047.31			\$	85,047.31	\$	85,047.31
Hitachi Zosen USA Ltd	Hitachi Zosen USA Ltd													
CivilTech Engineering (LT to Hitachi)	#D4M0018825	Ground Condition Evaluation	6-Aug-2014	100%	\$	127,804.00	\$	127,804.00			\$	127,804.00	\$	35,668.16
Global GeoPhysics (LT to CivilTech - 3rd Tier)	#M4M0021256	Access Shaft - GPR & MASW Surveys at T48	28-Jan-2015										\$	11,554.00
Yonemitsu Geological Services (LT to	#D4M0013447	Access Shaft - Soil Testing	28-Jan-2015										\$	935.00
HNTB (Non-DBE sub)	HNTB													
3D InFusion (LT to HNTB)	#D4M0018480	CADD Drafting	23-Apr-2012	100%	\$	22,571.00	\$	22,571.00			\$	22,571.00	\$	22,571.00
Berona Engineers Inc. (LT to HNTB)	#D4M5110441	Mechanical Engineering	5-Apr-2012	100%	\$	122,373.75	\$	122,373.75			\$	122,373.76	\$	122,373.76
Bolima Drafting & Design Inc (LT to HNTB)	#D1M0205127	CADD Drafting	18-Aug-2011	100%	\$	601,225.43	\$	601,225.43			\$	601,225.43	\$	601,225.43
Casseday Consulting (LT to HNTB)	#D2F9821042	Traffic & Transportation	29-Jul-2011	100%	\$	4,350.95	\$	4,350.95			\$	4,350.95	\$	4,350.95

Chudgar Engineering Company (LT to HNTB)	#D4M9019387	Structural Engineering	20-Sep-2011	100%	\$	101,510.22	\$	101,510.22	\$	101,510.22	\$	101,510.22
CivilTech Engineering (LT to HNTB)	#D4M0018825	Utility & Structural Engineering Services &	25-Aug-2011	100%	\$	937,205.53	\$	937,205.53	\$	930,605.48	\$	930,605.48
Convergent Pacific (LT to HNTB)	#D4M0018854	Structural Engineering	28-Oct-2011	100%	\$	176,417.44	\$	176,417.44	\$	176,363.27	\$	176,363.27
DKA (LT to HNTB)	#D3M2403468	CADD Drafting & Architectural Services	5-Aug-2011	100%	\$	492,750.26	\$	492,750.26	\$	492,750.26	\$	249,022.73
Earth Mechanics, Inc. (LT to HNTB)	#D4M8020108	Geotechnical Seismic Design & Analysis	1-May-2011	100%	\$	634,350.12	\$	634,350.12	\$	634,350.12	\$	-
Integrated Design Engineers, LLC (LT to HNTB)	#D4M8719103	Structural & Civil Engineering	6-Jan-2012	100%	\$	1,053,181.53	\$	1,053,181.53	\$	17,345.06	\$	1,037,887.89
Oneill Service Group	#D5M9820775	Matirals Approval Engineer	30-Apr-2015	100%	\$	16,007.50	\$	16,007.50	\$	4,892.50	\$	4,892.50
Osborn Consulting Inc. (LT to HNTB)	#D2F0019030	Temporary Erosion & Sediment Control Backwater analysis	1-May-2011	100%	\$	481,563.99	\$	481,563.99	\$	481,563.99	\$	481,563.99
Osborn Pacific Group Inc. (LT to HNTB)	#D2F0000139	Landscape Architectural Services	5-Mar-2012	100%	\$	33,377.30	\$	33,377.30	\$	33,377.30	\$	33,377.30
Saez Consulting Engineers Inc. (LT to HNTB)	#M5M0019808	Utility Engineering Services & Structural	1-May-2011	100%	\$	407,541.36	\$	407,541.36	\$	4,687.50	\$	404,934.13
Schemata Workshop (LT to HNTB)	#D4F0021115	Architectural Specifications	16-Apr-2012	100%	\$	186,757.53	\$	186,757.53	\$	186,383.93	\$	186,383.93
Wakerobin (LT to HNTB)	#D2F0019744	Document Control General Mngt. Consulting	26-Sep-2011	100%	\$	108,940.00	\$	108,940.00	\$	2,888.00	\$	106,230.90
Yonemitsu Geological Services (LT to HNTB)	#D4M0013447	Groundwater Monitoring	8-Jul-2011	100%	\$	6,132.18	\$	6,132.18	\$	6,132.18	\$	6,132.18
HNTB - HART CROWSER INC. (Non-DBE sub)	HNTB - HART CROWSER INC											
Global Geophysics (LT to HNTB)	#M4M0021256	Geophysical Consulting Services	1-May-2011	100%	\$	27,000.00	\$	27,000.00	\$	27,000.00	\$	27,000.00
Holocene Drilling Inc (Non-DBE sub)	HOLOCENE DRILLING											
Yonemitsu Geological Services	#D4M0013447	Field borehole logging, engineering, and	20-Jul-2012	100%	\$	123,517.12	\$	123,517.12	\$	123,517.12	\$	123,517.12
HOS BROS. CONSTRUCTION (Non-DBE sub)	HOS BROS											
ProUSA (LT to Hos Bros)	#D3M0022332	Trucking	23-Nov-2013	100%	\$	99,985.00	\$	99,985.00	\$	99,985.00	\$	-
JH KELLY (Non-DBE sub)	JH KELLY											
Scheduling and Information Services (LT to JH)	#D2F8218862	Project Controls and Scheduling	8-Apr-2013	73%	\$	550,000.00	\$	401,069.50	\$	14,527.40	\$	351,338.03
JH KELLY - DESERT MECHANICAL (Non-DBE sub)	JH KELLY - DESERT MECHANICAL											
OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D4M2316494	Underground Piping	1-Oct-2012	88%	\$	112,640.00	\$	99,395.00	\$	51,675.25	\$	51,675.25
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D6F0021571	Fabricating Tunnel Ventilation Stacks	13-Feb-2013	99%	\$	760,949.98	\$	749,934.92	\$	110,837.42	\$	572,906.30
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D6F0021571	Fabricating Transition Ductwork of Tunnel	19-Sep-2014	14%	\$	207,297.74	\$	28,396.95	\$	28,396.95	\$	28,396.95
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)	JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL											
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1488	#M3M0018112	Mechanical	1-May-2013	80%	\$	628,754.60	\$	502,604.20	\$	53,710.27	\$	477,473.98
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1533	#M3M0018112	Mechanical	1-Aug-2013	44%	\$	4,235,528.11	\$	1,863,827.88	\$	46,830.80	\$	1,727,223.56
JH KELLY - FISK ELECTRIC (Non-DBE sub)	JH KELLY - FISK ELECTRIC											
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0185A	23-Apr-2012	100%	\$	4,374.53	\$	4,374.53	\$	4,374.53	\$	2,624.72
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0444A	20-Apr-2013	100%	\$	5,688,963.90	\$	5,661,110.43	\$	728,102.34	\$	5,661,110.43
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0572A	10-Jul-2013	85%	\$	5,055,670.34	\$	4,302,180.75	\$	156,992.77	\$	4,302,180.75
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0720A	1-Jun-2013	100%	\$	174.65	\$	174.65	\$	174.65	\$	104.79
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0673A	1-May-2013	100%	\$	249.61	\$	249.61	\$	249.61	\$	149.77
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0680X	1-May-2013	100%	\$	47.41	\$	47.41	\$	47.41	\$	28.45
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0632A	1-Apr-2013	100%	\$	2,760.56	\$	2,760.56	\$	2,760.56	\$	1,656.34
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #29250	1-Oct-2013	100%	\$	1,573.93	\$	1,573.93	\$	1,573.93	\$	944.36

Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #32814	7-Nov-2013	100%	\$	64,000.00	\$	64,000.00		\$	64,000.00	\$	38,400.00	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #45436	13-Jan-2014	100%	\$	608.40	\$	608.40		\$	608.40	\$	365.04	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #7747	6-Aug-2013	100%	\$	191.63	\$	191.63		\$	191.63	\$	114.98	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #31840	1-Nov-2013	100%	\$	1,445.40	\$	1,445.40		\$	1,445.40	\$	867.24	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #118390	15-Sep-2014	100%	\$	6,296.25	\$	6,296.25		\$	6,296.25	\$	3,777.75	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #142187	6-Dec-2014	100%	\$	4,627.44	\$	4,627.44		\$	4,627.44	\$	2,776.46	
Transcon (LT to FISK, 3rd tier under JH Kelly)	#D4M1022071	Electrical supply and install	11-Feb-2013	100%	\$	59,187.00	\$	59,187.00		\$	59,187.03	\$	59,187.03	
JH KELLY - SICE (Non-DBE sub)	JH KELLY - SICE ELECTRIC													
Sundancer Electric (LT to SICE, 3rd tier under JH Kelly)	#D1M8522607	Electrical contractor	1-Jan-2014	100%	\$	4,249.04	\$	4,249.04		\$	4,249.04	\$	-	
Neppel Electrical (LT to SICE, 3rd tier under JH Kelly)	#D5M0017938	Electrical contractor	28-Jan-2014	23%	\$	270,800.00	\$	63,141.00		\$	22,730.65	\$	-	
Neppel Electrical (LT to SICE, 3rd tier under JH Kelly)	#D5M0017938	Electrical contractor	1-May-2015	0%	\$	2,758,729.43								
MALCOLM (Non-DBE sub)	MALCOM													
1 Alliance Geomatics (LT to Malcolm)	#D4M0022928	Onsite Survey Assistance	14-May-2014	100%	\$	397,730.00	\$	397,730.00		\$	397,730.00	\$	397,730.00	
BC Traffic (LT to Malcolm)	#D4M0011474	Traffic Control	12-May-2014	100%	\$	335,073.03	\$	335,073.03		\$	313,323.33	\$	313,323.33	
BESTCLS INC (LT to Malcolm)	#D3M9319663	Survey, as-build services	20-Oct-12	100%	\$	27,202.50	\$	27,202.50		\$	25,748.91	\$	25,748.91	
Mar-Vac / Marine Vacuum Service Inc. (LT to Malcolm)	#M4M0002341	Vac-truck services	10-Apr-2012	100%	\$	178,836.06		\$178,836.06			\$169,894.26	\$	169,894.26	
Transcon (LT Malcolm)	#D4M1022071	Excavation	9-May-2014	100%	\$	431,642.23	\$	431,642.23		\$	422,156.00	\$	412,669.77	
MAYES TESTING ENGINEERS, INC. (Non-DBE sub)	MAYES TESTING ENGINEERS, INC													
Pacific Geo Engineering (LT to Mayes)	#D4M9620410	Soil Compaction Testing Services	4-Jan-2013	100%	\$	45,617.00	\$	45,617.00		\$	45,617.00	\$	45,617.00	
NCM (Non-DBE sub)	NCM													
OMA (LT to NCM)	#D4M2316494	Demo, Trucking Secants, Wall Openings and	25-Mar-2014	100%	\$	167,626.50	\$	167,626.50		\$	154,702.50			
IMR Trucking	#D3M6917511	Trucking												
Ponglis Trucking	#M4M0019913	Trucking												
Tan Trucking	#D3M0020597	Trucking												
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM)	#M4M0002341	Vac-truck services	26-Jun-2014	100%	\$	18,651.80	\$	18,651.80		\$	18,373.05	\$	14,584.68	
NORTHWEST ASPHALT	NW ASPHALT													
OMA (LT to Northwest Asphalt)	#D4M2316494	Trucking	26-Feb-2014	100%	\$	58,236.25	\$	58,236.25		\$	55,324.43			
ProUSA (LT to Northwest Asphalt)	#D3M0022332	Trucking	24-Feb-2014	100%	\$	11,576.41	\$	11,576.41		\$	11,576.41			
OTTO ROSENAU & ASSCIATES, INC. (Non-DBE sub)	OTTO ROSENAU & ASSOCIATES, INC													
AAR Testing Laboratories, Inc. (LT to Otto)	#D2F4708231	Outside Testing & Inspection	25-Oct-2011	100%	\$	68,602.74	\$	68,602.74	COMPLETE	\$	68,602.74	\$	68,602.74	
PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)	PROFESSIONAL SERVICES INDUSTRY (PSI)													
Pacific Geo Engineering (LT to PSI)	#D4M9620410	Concrete testing and laboratory testing	4-Jan-2013	100%	\$	24,999.50	\$	24,999.50		\$	24,999.50	\$	24,999.50	
SOLDATA - KPG (Non-DBE sub)	SOLDATA - KPG													
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	#M5M0019808	Settlement Monitoring	1-Apr-2012	70%	\$	1,093,130.55	\$	767,488.92		\$	715,833.07	\$	715,833.07	
OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	#D4M2316494	Settlement Point Installations	6-Sep-2012	100%	\$	103,950.00	\$	103,950.00		\$	103,950.00	\$	60,280.00	
SOLDATA - HART CROWSER (Non-DBE sub)	SOLDATA - HART CROWSER													
Novito Construction Inc. (LT to Hart Crowser, 3rd tier under SolData)	#D2F6917467	Traffic control/ flagging	11-Jun-2012	100%	\$	228,052.53	\$	228,052.53		\$	228,052.53	\$	228,052.53	
SOLDATA - Holocene Drilling (Non-DBE sub)	SOLDATA - HOLOCENE DRILLING													
Yonemitsu Geological (LT to Holocene, 3rd tier)	#D4M0013447	Geological Engineering & Boring Logs	8-Apr-2015	100%	\$	32,849.54	\$	32,849.54	\$	6,736.52	\$	6,736.52	\$	6,736.52

US Electric (Non-DBE sub)	US ELECTRIC								
Mobile Electrical Distributors Inc. (LT to US Electric)	#D2F0017012	Electrical Supply	13-Feb-2013	100%	\$ 159,186.36	\$ 159,186.36		\$ 159,186.36	\$ 95,511.82
Sundancer Electric	#D1M8522607	Electrical Support for Tunneling Operations	14-Apr-2015	100%	\$ 394,805.86	\$ 394,805.86	\$ 158,027.77	\$ 315,186.21	\$ 315,186.21
VECA (Non-DBE sub)	VECA								
Mobile Electrical Distributors Inc. (LT to VECA)	#D2F0017012	Electrical Supply		100%	\$ 9,803.15	\$ 9,803.15	COMPLETE	\$ 9,803.15	\$ 5,881.89
					\$ 100,302,136.64	\$ 89,305,915.07	\$ 3,124,540.33	\$ 87,847,487.44	\$ 67,972,919.28

- PLEASE ANSWER THE FOLLOWING QUESTIONS BY STATING EITHER "YES" OR "NO":
- 1) Have any of the DBE subcontractors been added or removed from the DBE monthly report period? If yes, fully explain the action.
No
- 2) Has the scope of work or the subcontract amount for any of the DBE subcontractors changed since the last report? If yes, fully explain the action.
Yes. Please see the attached summary report for commitments as of 7/31/15.
- 3) Did any of the DBE subcontractors rent/lease equipment from the prime contractor or an affiliate company during the report period? If yes, explain the arrangement, including a description of the equipment and the cost.
No.
- 4) Did any of the DBE subcontractors utilize employees of former employees of the prime contractor or an affiliate company during the report period? If yes, fully explain the arrangement
No.

AUTHORIZED SIGNATURE: 
CHRIS DIXON

TITLE: Project Manager

DATE: 8/31/2015

Commitments increased as of month ending July 31, 2015

* First time reported

Name of DBE Subcontractor * (LT = lower tier)	June 2015 Commitment	July 2015 Commitment	Increase
FIRST TIER			
Catherine Bassetti	\$ 88,780.86	\$ 93,580.86	\$ 4,800.00
DHD Trucking	\$ 1,203,947.50	\$ 1,218,533.90	\$ 14,586.40
EPC Consultants, Inc.	\$ 1,354,466.00	\$ 1,411,828.00	\$ 57,362.00
Exeltech Consulting Inc	\$ 401,025.85	\$ 421,752.65	\$ 20,726.80
Greylock Consulting LLC	\$ 276,323.74	\$ 277,322.57	\$ 998.83
Meeds Environmental		\$ 30,140.00	\$ 30,140.00
MindSeekers, LLC	\$ 352,639.63	\$ 365,110.01	\$ 12,470.38
Oatridge Security Group Inc	\$ 4,800,038.00	\$ 5,102,281.75	\$ 302,243.75
Osiris Enterprises LLC	\$ 307,315.50	\$ 328,973.50	\$ 21,658.00
Savage Logistics, LLC	\$ 800,517.00	\$ 833,637.00	\$ 33,120.00
Yonemitsu Geological Services		\$ 12,500.96	\$ 12,500.96
VENDORS			
Excel Supply Company	\$ 61,970.20	\$ 62,164.19	\$ 193.99
Highway Specialties LLC	\$ 256,135.10	\$ 259,025.63	\$ 2,890.53
ST Fabrication/ Jabez	\$ 2,477,088.24	\$ 2,478,644.24	\$ 1,556.00
United Reprographics	\$ 5,667.45	\$ 5,698.09	\$ 30.64
LOWER TIER			
HNTB (Non-DBE sub)			
Integrated Design Engineers, LLC (LT to HNTB)	\$ 1,034,922.53	\$ 1,053,181.53	\$ 18,259.00
Oneill Service Group	\$ 4,892.50	\$ 16,007.50	\$ 11,115.00
Saez Consulting Engineers Inc. (LT to HNTB)	\$ 400,733.86	\$ 407,541.36	\$ 6,807.50
Wakerobin (LT to HNTB)	\$ 105,900.00	\$ 108,940.00	\$ 3,040.00
JH KELLY - DESERT MECHANICAL (Non-DBE sub)			
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	\$ 746,395.10	\$ 760,949.98	\$ 14,554.88
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)			
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	\$ 4,202,961.11	\$ 4,235,528.11	\$ 32,567.00
NCM (Non-DBE sub)			
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM)	\$ 18,373.05	\$ 18,651.80	\$ 278.75
NORTHWEST ASPHALT			
OMA (LT to Northwest Asphalt)	\$ 57,236.25	\$ 58,236.25	\$ 1,000.00
US Electric (Non-DBE sub)			
Sundancer Electric	\$ 294,796.81	\$ 394,805.86	\$ 100,009.05
		\$ 702,909.46	

ATTACHMENT # 2
DBE COMMITMENT VALIDATION

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Invoiced to Date	#53 Commitment	#52 Commitment	#53 - #52 Commitment Change	REMARKS
FIRST TIER										
Catherine Bassetti	Progress photography	V	5-Mar-12	Active	100%	\$ 93,580.86	\$ 93,580.86	\$ 88,780.86	\$ 4,800.00	Equals Invoiced to date; Total of Subconsultant Agreement #1 w/3 Change Orders, and Subconsultant Agreement #2 (through CO #1) Total Revised NTE Agreement Amount = \$95,980.86
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,218,533.90	\$ 1,218,533.90	\$ 1,203,947.50	\$ 14,586.40	Equals Invoiced to Date total; Total of all Purchase Orders, Change Orders, and Contract for street sweeping in STP files = \$1,379,545.69
EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	100%	\$ 1,411,828.00	\$ 1,411,828.00	\$ 1,354,466.00	\$ 57,362.00	Equals Invoiced to Date total; Unit Price Service Agreements in STP file; (NTE) amount = \$2,000,000
Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 421,752.65	\$ 421,752.65	\$ 401,025.85	\$ 20,726.80	Subconsultant Agreement (#1979-01) through CO #008 = \$593,889.58 (NTE)
Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 277,322.57	\$ 277,322.57	\$ 276,323.74	\$ 998.83	Equals Invoiced to Date total; Revised Subconsultant Agreement through CO #012 = \$296,381.58 (NTE)
Meeds Environmental (Added on #50)	Filter Press	Need	2-Apr-2015	Active		\$ 30,140.00	\$ 30,140.00		\$ 30,140.00	Equals Invoiced to Date total; Subcontract Agreement through CO #001 = \$93,598.40
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 365,110.01	\$ 365,110.01	\$ 352,639.63	\$ 12,470.38	Equals Invoiced to Date total; Subcontract Agreement through CO #001 = \$931,260.00
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,102,281.75	\$ 5,102,281.75	\$ 4,800,038.00	\$ 302,243.75	Equals Invoiced to Date total; Subcontract (#1977-01) through CO #006 = \$5,788,977.75
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 328,973.50	\$ 328,973.50	\$ 307,315.50	\$ 21,658.00	Equals Invoiced to Date total; (PO No 2399-DB10) Agreement through CO #008 = \$408,678.28
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 833,637.00	\$ 833,637.00	\$ 800,517.00	\$ 33,120.00	Equals Invoiced to Date total; Subcontract Agreement through CO#002 = \$1,000,000
Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014		0%	\$ 12,500.96	\$ 12,500.96		\$ 12,500.96	Subcontract Agreement = \$15,000.00 (NTE)
VENDORS										
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,164.19	\$ 62,164.19	\$ 61,970.20	\$ 193.99	Purchase Order Agreement; Total PO's and CO's (through CO #001) = \$62,809.56
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMA's	R	NA	Active	100%	\$ 259,025.63	\$ 259,025.63	\$ 256,135.10	\$ 2,890.53	Equals Invoiced to Date total; Total of Purchase Orders in STP Files = \$303,823.12
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		100%	\$ 2,478,644.24	\$ 2,478,644.24	\$ 2,477,088.24	\$ 1,556.00	Total of all Purchase Orders and Change Orders for structural steel supply in STP files = \$2,613,396.11
United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	100%	\$ 5,698.09	\$ 5,698.09	\$ 5,667.45	\$ 30.64	Total of Subcontract and Purchase Orders = \$79,250
LOWER TIER										
HNTB (Non-DBE sub)										
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	100%	\$ 1,053,181.53	\$ 1,053,181.53	\$ 1,034,922.53	\$ 18,259.00	Equals Invoiced to date total; Supplement No. 6 Revised Budget = \$1,066,854
Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015			\$ 16,007.50	\$ 16,007.50	\$ 4,892.50	\$ 11,115.00	Subcontract Agreement = \$50,000 (NTE)
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 407,541.36	\$ 407,541.36	\$ 400,733.86	\$ 6,807.50	Equals Invoiced to Date total; Subconsultant Agreement = \$418,253
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 108,940.00	\$ 108,940.00	\$ 105,900.00	\$ 3,040.00	Supplemental Agreement No. 4 = \$111,680 (NTE)
JH KELLY - DESERT MECHANICAL (Non-DBE sub)										
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	101%	\$ 749,934.92	\$ 760,949.98	\$ 746,395.10	\$ 14,554.88	Purchase Order (12-9-1000-09) plus Change Orders = \$760,949.98
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)										
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	227%	\$ 1,863,827.88	\$ 4,235,528.11	\$ 4,202,961.11	\$ 32,567.00	Equals Invoiced to Date total; Subcontract #1533 through CO #012 = \$4,235,528.11
NCM (Non-DBE sub)										
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	100%	\$ 18,651.80	\$ 18,651.80	\$ 18,373.05	\$ 278.75	Equals Invoiced to date total; Subcontract Agreement for "Not to Exceed" amount to be determined per T&M Invoice and added by Change Order in binder; last increase by Change Order #2 in STP file for a total of \$18,373.05
Northwest Asphalt (Non-DBE sub)										
OMA (LT to Northwest Asphalt) (Added on #39)	Trucking	Need	26-Feb-2014		100%	\$ 58,236.25	\$ 58,236.25	\$ 57,236.25	\$ 1,000.00	Equals Invoiced to date total; Total Subcontract Agreement through CO #004 = \$60,000
US Electric (Non-DBE sub) (Added on #50)										
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015		100%	\$ 394,805.86	\$ 394,805.86	\$ 294,796.81	\$ 100,009.05	Equals Invoiced to Date total; Total Subcontract Agreement through CO #1 = \$1,400,000.00 (NTE)
						\$ 89,305,915.07	\$ 100,302,136.64	\$ 99,599,227.18	\$ 702,909.46	

ATTACHMENT # 3
DBE INVOICED TO DATE VALIDATION

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Commitment	#53 Invoiced to Date	#52 Invoiced to Date	#53 - #52 Invoiced (for July)	Invoices (for July)	Verified work done prior to invoice date	REMARKS
FIRST TIER												
Catherine Bassetti	Progress photography	V	5-Mar-12	Active	0%	\$ 93,580.86	\$ 93,580.86	\$ 88,780.86	\$ 4,800.00	Inv #10:063015, 11:073115	Yes	Invoices in binder
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	0%	\$ 1,218,533.90	\$ 1,218,533.90	\$ 1,203,947.50	\$ 14,586.40	See Remarks	Yes	Invoice #'s 76:062715, 77:070415, 78:071115, 77:070415C, 79:071815 in binder
EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013		0%	\$ 1,411,828.00	\$ 1,411,828.00	\$ 1,354,466.00	\$ 57,362.00	Inv #7999026	Yes	Invoice in binder
Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	0%	\$ 421,752.65	\$ 421,752.65	\$ 401,025.85	\$ 20,726.80	Inv #21:060315	Yes	Invoice in binder
Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	0%	\$ 277,322.57	\$ 277,322.57	\$ 276,323.74	\$ 998.83	Inv #45:063015	Yes	Invoice in binder
Meeds Environmental (Added on #50)	Filter Press	Need	2-Apr-2015	Active		\$ 30,140.00	\$ 30,140.00		\$ 30,140.00	See Remarks	Yes	Invoice #'s 2206, 2228, 2238, 2252 in binder
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	0%	\$ 365,110.01	\$ 365,110.01	\$ 352,639.63	\$ 12,470.38	See Remarks	Yes	Invoice #'s 33260, 33259, 33269, 33268, 33276, 33277, 33287, 33289, 33290, 33291, 33292, 33288, 33297, 33296 in binder
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	0%	\$ 5,102,281.75	\$ 5,102,281.75	\$ 4,800,038.00	\$ 302,243.75	See Remarks	Yes	Invoice #'s 2113, 2114, 2115, 2112, 2128, 2130, 2129, 2127, 2127R in binder
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	0%	\$ 328,973.50	\$ 328,973.50	\$ 307,315.50	\$ 21,658.00	Inv #'s 2047, 2049	Yes	Invoices in binder
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	0%	\$ 833,637.00	\$ 833,637.00	\$ 800,517.00	\$ 33,120.00	See Remarks	Yes	Invoice #'s 61:062015, 62:070415, 63:071815 in binder
Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014		0%	\$ 12,500.96	\$ 12,500.96		\$ 12,500.96	See Remarks	Yes	Invoice #'s 1933-01, 1933-02, 1933-03 in binder
VENDORS												
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	0%	\$ 62,164.19	\$ 62,164.19	\$ 61,970.20	\$ 193.99	Inv #75189	Yes	Invoice in binder
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	0%	\$ 259,025.63	\$ 259,025.63	\$ 256,135.10	\$ 2,890.53	Inv #'s 1507229, 1506710, 1506273	Yes	Invoices in binder
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		0%	\$ 2,478,644.24	\$ 2,478,644.24	\$ 2,477,088.24	\$ 1,556.00	Inv #71512	Yes	Invoice in binder
United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	100%	\$ 5,698.09	\$ 5,698.09	\$ 5,667.45	\$ 30.64	Inv #9035628	Yes	Invoice in binder
LOWER TIER												
HNTB (Non-DBE sub)												
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	0%	\$ 1,053,181.53	\$ 1,053,181.53	\$ 1,034,922.53	\$ 18,259.00	Inv #6697	Yes	Invoice in binder
O'Neill Service Group (Added on #50)	Materials Approval Engineer	Need	30-Apr-2015			\$ 16,007.50	\$ 16,007.50	\$ 4,892.50	\$ 11,115.00	Inv #2726-57161	Yes	Invoice in binder
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	0%	\$ 407,541.36	\$ 407,541.36	\$ 400,733.86	\$ 6,807.50	Inv #'s 1192-46055, 1174-46055	Yes	Invoices in binder
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 108,940.00	\$ 108,940.00	\$ 105,900.00	\$ 3,040.00	See Remaris	Yes	Invoice #106202-1506-46055 in binder
JH KELLY (Non-DBE sub)												
Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	0%	\$ 550,000.00	\$ 401,069.50	\$ 383,106.50	\$ 17,963.00	Inv #416690	Yes	Invoice in binder
JH KELLY - DESERT MECHANICAL (Non-DBE sub)												
OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	Underground Piping	S	1-Oct-2012	2/1/2015	0%	\$ 112,640.00	\$ 99,395.00	\$ 54,395.00	\$ 45,000.00	Inv #3	Yes	Invoice in binder
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	0%	\$ 760,949.98	\$ 749,934.92	\$ 462,068.88	\$ 287,866.04	See Remarks	Yes	Invoice #'s 5150003, 5150002, 7150008, 7150009, 7150040, 7150039, 7150046, 6150012, 6150011 in binder
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)												
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	0%	\$ 4,235,528.11	\$ 1,863,827.88	\$ 1,840,978.96	\$ 22,848.92	Inv #2013-14-20	Yes	Invoice in binder
JH KELLY - FISK ELECTRIC (Non-DBE sub)												
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R	20-Apr-2013		0%	\$ 5,688,963.90	\$ 5,661,110.43	\$ 4,933,008.09	\$ 728,102.34	Inv #61258	Yes	Invoice in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		0%	\$ 5,055,670.34	\$ 4,302,180.75	\$ 4,271,763.32	\$ 30,417.43	Inv #60582	Yes	Invoice in binder
JH KELLY - SICE (Non-DBE sub)												
Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #49)	Electrical contractor	S	28-Jan-2014		0%	\$ 270,800.00	\$ 63,141.00	\$ 23,927.00	\$ 39,214.00	Inv #293423	Yes	Invoice in binder
NCM (Non-DBE sub)												
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	0%	\$ 18,651.80	\$ 18,651.80	\$ 18,373.05	\$ 278.75	Inv #54367	Yes	Invoice in binder
Northwest Asphalt (Non-DBE sub)												
OMA (LT to Northwest Asphalt) (Added on #39)	Trucking	Need	26-Feb-2014		0%	\$ 58,236.25	\$ 58,236.25	\$ 57,236.25	\$ 1,000.00	Inv #203265	Yes	Invoice in binder
SOLDATA - KPG (Non-DBE sub)												
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	0%	\$ 1,093,130.55	\$ 767,488.92	\$ 742,597.76	\$ 24,891.16	Inv #1220	Yes	Invoice in binder
US Electric (Non-DBE sub) (Added on #50)												
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015		0%	\$ 394,805.86	\$ 394,805.86	\$ 294,796.81	\$ 100,009.05	See Remarks	Yes	Invoice #'s 6594, 6608, 6618, 6620 in binder
						\$ 100,302,136.64	\$ 89,305,915.07	\$ 87,453,824.60	\$ 1,852,090.47			

ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Total Payments this Report (July)	#53 Total Payments to Date	#52 Total Payments to Date	Compare Total Pymts to Date (#53 - #52)	Variance	REMARKS
FIRST TIER											
Catherine Bassetti	Progress photography	V	5-Mar-12	Active	100%	\$ 3,000.00	\$ 91,180.86	\$ 88,180.86	\$ 3,000.00	\$ -	Check #'s 11034, 11245 in binder
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	99%	\$ 18,540.00	\$ 1,211,507.50	\$ 1,192,967.50	\$ 18,540.00	\$ -	Check #'s 10990, 11026, 11095, 11192, 11218 in binder
EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	95%	\$ 114,724.00	\$ 1,411,828.00	\$ 1,297,104.00	\$ 114,724.00	\$ -	Check #'s 11042, 11202 in binder
Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 34,895.94	\$ 419,414.71	\$ 384,518.77	\$ 34,895.94	\$ -	Check #'s 11242, 11024 in binder
Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 76,576.35	\$ 735,782.51	\$ 659,206.16	\$ 76,576.35	\$ -	Check #'s 11228, 11193 in binder
Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 929.40	\$ 276,323.74	\$ 275,394.34	\$ 929.40	\$ 0.00	Check #11025 in binder
Meeds Environmental (Added on #50)	Filter Press	Need	2-Apr-2015	Active		\$ 2,740.00	\$ 27,400.00		\$ 27,400.00	\$ (24,660.00)	Check #'s 10473, 10856, 11188 in binder
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	97%	\$ 12,785.64	\$ 360,114.01	\$ 347,328.37	\$ 12,785.64	\$ (0.00)	Check #'s 11020, 11073, 11181, 11236 in binder
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	97%	\$ 144,063.50	\$ 4,944,101.50	\$ 4,800,038.00	\$ 144,063.50	\$ -	Check #11023 in binder
Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	100%	\$ 19,040.00	\$ 765,130.73	\$ 746,090.73	\$ 19,040.00	\$ -	Check #11031 in binder
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 10,829.00	\$ 318,144.50	\$ 307,315.50	\$ 10,829.00	\$ -	Check #11112 in binder
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	95%	\$ 9,936.00	\$ 800,517.00	\$ 790,581.00	\$ 9,936.00	\$ -	Check #11039 in binder
Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	100%	\$ 1,285,937.40	\$ 5,609,449.86	\$ 4,323,512.46	\$ 1,285,937.40	\$ -	Check #'s 11043, 11248 in binder
Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014		0%	\$ 3,764.20	\$ 12,500.96		\$ 12,500.96	\$ (8,736.76)	Check #'s 10299, 10986, 11198 in binder
VENDORS											
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 1,702.97	\$ 62,164.19	\$ 60,461.22	\$ 1,702.97	\$ -	Check #'s 11052, 11105 in binder
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 1,354.69	\$ 257,344.15	\$ 255,989.46	\$ 1,354.69	\$ (0.00)	Check #'s 11214, 11164, 11016 in binder
Mobile Electrical Distributors (Added on #45)	Electrical Supply	Need	25-Nov-2014	Active	100%	\$ 108.94	\$ 157,391.55	\$ 157,282.61	\$ 108.94	\$ (0.00)	Check #'s 11148, 10992 in binder
Quality Discount Supplies & Services (John W. Quarles)	Office Supplies	R	NA	Active	94%	\$ 475.55	\$ 5,966.35	\$ 5,490.80	\$ 475.55	\$ -	Check #11131 in binder
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		100%	\$ 82,358.00	\$ 2,477,088.24	\$ 2,394,730.24	\$ 82,358.00	\$ -	Check #11066 in binder
United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	100%	\$ 91.90	\$ 5,698.09	\$ 5,606.19	\$ 91.90	\$ (0.00)	Check #'s 11076, 11146 in binder
LOWER TIER											
HNTB (Non-DBE sub)											
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	100%	\$ 17,346.06	\$ 1,037,887.89	\$ 1,020,541.83	\$ 17,346.06	\$ (0.00)	Check #368680 in binder
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 4,687.50	\$ 404,934.13	\$ 400,246.63	\$ 4,687.50	\$ -	Check #368825 in binder
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 2,888.00	\$ 106,230.90	\$ 103,342.90	\$ 2,888.00	\$ -	Check #369746 in binder
JH KELLY (Non-DBE sub)											
Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	100%	\$14,527.40	\$ 351,338.03	\$ 336,810.63	\$ 14,527.40	\$ (0.00)	Wire Receipt in binder
JH KELLY - DESERT MECHANICAL (Non-DBE sub)											
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	100%	\$ 110,837.42	\$ 572,906.30	\$ 462,068.88	\$ 110,837.42	\$ -	Check #380107 in binder
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)											
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1488	S	1-May-2013	4/1/2015	100%	\$ 53,710.27	\$ 477,473.98	\$ 423,763.71	\$ 53,710.27	\$ -	Check #42188 in binder
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	100%	\$ 46,830.80	\$ 1,727,223.56	\$ 1,680,392.76	\$ 46,830.80	\$ -	Check #42241 in binder
JH KELLY - FISK ELECTRIC (Non-DBE sub)											
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R	20-Apr-2013		100%	\$ 728,102.34	\$ 5,661,110.43	\$ 4,933,008.44	\$ 728,101.99	\$ 0.35	Check #43131 in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		100%	\$ 156,992.77	\$ 4,302,180.75	\$ 4,145,187.98	\$ 156,992.77	\$ -	Check #'s 41539, 42728, 41940,42289, 43042 in binder
Northwest Asphalt (Non-DBE sub)											
OMA (LT to Northwest Asphalt) (Added on #39)	Trucking	Need	26-Feb-2014		100%		\$ 55,324.43	\$ 54,374.43	\$ 950.00	\$ (950.00)	Check #30771 in binder
SOLDATA - KPG (Non-DBE sub)											
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	100%		\$ 715,833.07	\$ 646,073.93	\$ 69,759.14	\$ (69,759.14)	Check #4127 in binder
SOLDATA - Holocene Drilling (Non-DBE sub) (Added on #51)											
Yonemitsu Geological (LT to Holocene, 3rd tier under SolData)	Geological Engineering & Boring Logs	Need	8-Apr-2015		#DIV/0!	\$ 6,736.52	\$ 6,736.52		\$ 6,736.52	\$ -	Check #22875 in binder
US Electric (Non-DBE sub) (Added on #50)											
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015		100%	\$ 158,027.77	\$ 315,186.21	\$ 157,158.44	\$ 158,027.77	\$ -	Check #'s 103031, 103033, 103036, 103040 in binder
						\$ 3,124,540.33	\$ 87,847,487.44	\$ 84,618,841.56	\$ 3,228,645.88	\$ (\$181.84)	

ATTACHMENT # 5
DBE AMOUNT (AS AMENDED) VALIDATION

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#53 Commitment	#53 Invoiced to Date	#53 Total Payments this Report (July)	#53 Total Payments to Date	#53 DBE Amount (as Amended)	#52 DBE Amount (as Amended)	#53 - #52 DBE Amount (as Amended)	(X:Y) Pymt to Date <=#53 DBE Amt	REMARKS
FIRST TIER														
Catherine Bassetti	Progress photography	V	5-Mar-12	Active	0%	\$ 93,580.86	\$ 93,580.86	\$ 3,000.00	\$ 91,180.86	\$ 90,589.36	\$ 87,589.36	\$ 3,000.00	Yes	
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	0%	\$ 1,218,533.90	\$ 1,218,533.90	\$ 18,540.00	\$ 1,211,507.50	\$ 1,211,507.50	\$ 1,192,967.50	\$ 18,540.00	Yes	
EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	0%	\$ 1,411,828.00	\$ 1,411,828.00	\$ 114,724.00	\$ 1,411,828.00	\$ 1,376,688.00	\$ 1,261,964.00	\$ 114,724.00	Yes	
Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	0%	\$ 421,752.65	\$ 421,752.65	\$ 34,895.94	\$ 419,414.71	\$ 419,414.71	\$ 384,518.77	\$ 34,895.94	Yes	
Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	0%	\$ 743,766.56	\$ 743,766.56	\$ 76,576.35	\$ 735,782.51	\$ 735,782.51	\$ 659,206.16	\$ 76,576.35	Yes	
Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	0%	\$ 277,322.57	\$ 277,322.57	\$ 929.40	\$ 276,323.74	\$ 150,245.89	\$ 149,492.49	\$ 753.40	Yes	
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	0%	\$ 365,110.01	\$ 365,110.01	\$ 12,785.64	\$ 360,114.01	\$ 360,114.01	\$ 347,328.37	\$ 12,785.64	Yes	
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	0%	\$ 5,102,281.75	\$ 5,102,281.75	\$ 144,063.50	\$ 4,944,101.50	\$ 4,930,607.50	\$ 4,786,544.00	\$ 144,063.50	Yes	
Oneill Service Group	Environmental Inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	0%	\$ 765,130.73	\$ 765,130.73	\$ 19,040.00	\$ 765,130.73	\$ 638,913.90	\$ 619,873.90	\$ 19,040.00	Yes	
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	0%	\$ 328,973.50	\$ 328,973.50	\$ 10,829.00	\$ 318,144.50	\$ 173,343.96	\$ 172,260.96	\$ 1,083.00	Yes	
Rose Super Clean and Park Management (LT to Osiris)	Janitorial Services	V	6-Apr-2012	Active	100%					\$ 139,927.54	\$ 135,054.54	\$ 4,873.00		
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	0%	\$ 833,637.00	\$ 833,637.00	\$ 9,936.00	\$ 800,517.00	\$ 800,517.00	\$ 790,581.00	\$ 9,936.00	Yes	
Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	0%	\$ 7,911,992.77	\$ 5,904,210.37	\$ 1,285,937.40	\$ 5,609,449.86	\$ 5,044,947.64	\$ 3,759,010.24	\$ 1,285,937.40	Yes	
Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	Need	4-Dec-2014		0%	\$ 12,500.96	\$ 12,500.96	\$ 3,764.20	\$ 12,500.96	\$ 11,730.96		\$ 11,730.96	Yes	
Teknograf (LT to Yonemitsu Geological) (Added on #50)	Drafting Services	Need	28-Apr-2015							\$ 770.00		\$ 770.00		
VENDORS														
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	0%	\$ 62,164.19	\$ 62,164.19	\$ 1,702.97	\$ 62,164.19	\$ 37,108.08	\$ 36,086.29	\$ 1,021.79	Yes	
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	0%	\$ 259,025.63	\$ 259,025.63	\$ 1,354.69	\$ 257,344.15	\$ 154,406.49	\$ 153,593.68	\$ 812.81	Yes	
Mobile Electrical Distributors (Added on #45)	Electrical Supply	Need	25-Nov-2014	Active	100%	\$ 157,391.55	\$ 157,391.55	\$ 108.94	\$ 157,391.55	\$ 94,434.93	\$ 94,369.57	\$ 65.36	Yes	
Quality Discount Supplies & Services (John W. Quarles)	Office Supplies	R	NA	Active	0%	\$ 5,966.35	\$ 5,966.35	\$ 475.55	\$ 5,966.35	\$ 3,579.81	\$ 3,294.48	\$ 285.33	Yes	
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		0%	\$ 2,478,644.24	\$ 2,478,644.24	\$ 82,358.00	\$ 2,477,088.24	\$ 1,979,630.28	\$ 1,930,215.48	\$ 49,414.80	Yes	
United Reprographics (Added on #47)	Business cards & printing services	Need	12-Jan-2015	Active	100%	\$ 5,698.09	\$ 5,698.09	\$ 91.90	\$ 5,698.09	\$ 5,698.09	\$ 5,606.19	\$ 91.90	Yes	
LOWER TIER														
HNTB (Non-DBE sub)														
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	6-Jan-2012	Active	0%	\$ 1,053,181.53	\$ 1,053,181.53	\$ 17,346.06	\$ 1,037,887.89	\$ 1,037,887.89	\$ 1,020,541.83	\$ 17,346.06	Yes	
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	0%	\$ 407,541.36	\$ 407,541.36	\$ 4,687.50	\$ 404,934.13	\$ 401,471.63	\$ 396,784.13	\$ 4,687.50	Yes	
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 108,940.00	\$ 108,940.00	\$ 2,888.00	\$ 106,230.90	\$ 106,230.90	\$ 103,342.90	\$ 2,888.00	Yes	
JH KELLY (Non-DBE sub)														
Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	0%	\$ 550,000.00	\$ 401,069.50	\$ 14,527.40	\$ 351,338.03	\$ 286,463.03	\$ 274,435.63	\$ 12,027.40	Yes	
JH KELLY - DESERT MECHANICAL (Non-DBE sub)														
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	0%	\$ 760,949.98	\$ 749,934.92	\$ 110,837.42	\$ 572,906.30	\$ 572,906.30	\$ 462,068.88	\$ 110,837.42	Yes	
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)														
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1488	S	1-May-2013	4/1/2015	0%	\$ 628,754.60	\$ 502,604.20	\$ 53,710.27	\$ 477,473.98	\$ 477,473.98	\$ 423,763.71	\$ 53,710.27	Yes	
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	0%	\$ 4,235,528.11	\$ 1,863,827.88	\$ 46,830.80	\$ 1,727,223.56	\$ 1,727,223.56	\$ 1,680,392.76	\$ 46,830.80	Yes	
JH KELLY - FISK ELECTRIC (Non-DBE sub)														
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R	20-Apr-2013		0%	\$ 5,688,963.90	\$ 5,661,110.43	\$ 728,102.34	\$ 5,661,110.43	\$ 3,396,666.26	\$ 2,959,805.06	\$ 436,861.19	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		0%	\$ 5,055,670.34	\$ 4,302,180.75	\$ 156,992.77	\$ 4,302,180.75	\$ 2,581,308.45	\$ 2,487,112.79	\$ 94,195.66	Yes	
SOLDATA - KPG (Non-DBE sub)														
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	0%	\$ 1,093,130.55	\$ 767,488.92		\$ 715,833.07	\$ 715,833.07	\$ 646,073.93	\$ 69,759.14	Yes	
SOLDATA - Holocene Drilling (Non-DBE sub) (Added on #51)														
Yonemitsu Geological (LT to Holocene, 3rd tier under SolData)	Geological Engineering & Boring Logs	Need	8-Apr-2015			\$ 32,849.54	\$ 32,849.54	\$ 6,736.52	\$ 6,736.52	\$ 6,736.52		\$ 6,736.52	Yes	
US Electric (Non-DBE sub) (Added on #50)														
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	Need	14-Apr-2015			\$ 394,805.86	\$ 394,805.86	\$ 158,027.77	\$ 315,186.21	\$ 315,186.21	\$ 157,158.44	\$ 158,027.77	Yes	
						\$ 100,302,136.64	\$ 89,305,915.07	\$ 3,124,540.33	\$ 87,847,487.44	\$ 67,972,919.28	\$ 65,168,610.36	\$ 2,804,308.92		

ATTACHMENT #6: Status of DBE Subcontracts

SR 99 Bored Tunnel Alternative DB								
STP Fed Employer I.D. #27-3509698								
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes
S	603260116	1 Alliance Geomatics	5/14/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
V	602288380	3D Infusion	4/23/2012	6/11/2012	6/8/2012	1/14/2013	HNTB	
V	601202429	AAR Testing Laboratories Inc.	12/1/2012	2/1/2013	3/1/2013	None	STP	
V	601202429	AAR Testing Laboratories Inc.	4/1/2012	10/31/2012	11/1/2012	None	FD Thomas	
V	601202429	AAR Testing Laboratories Inc.	10/25/2011	2/28/2013	2/28/2013	None	Otto Rosneau & Assoc.	
S	601443349	Adept Mechanical	9/1/2012	1/30/2013	NA	None	ST Fabrication	
S	601997791	Advanced Underground Utilities	10/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	600089108	Amaya Electric (CCIS-see Marles Corp)	8/2/2013	10/8/2013	2/3/2014	3/14/2014	STP	Accounting received final release 2/3/14
S	602178781	BC Traffic	5/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
S	601554695	Bear Wood Windows		N/A	N/A	N/A	STP	Work won't start until 2015
V	601314208	Berona Engineers Inc	4/5/2012	11/28/2012	11/16/2012	1/14/2013	HNTB	
S	602978139	BEST CCLS Inc	1/10/2012	12/31/2012	10/9/2013	10/16/2013	STP	Final payment docs recv'd from sub on 9/20/13, Final EEO documents received 10/9/13
S	602978139	BEST CCLS Inc	3/26/2012	8/30/2013	2/15/2015		Malcolm	Contract #1 - Closed
R	601361936	Birch Equipment Rental and Sales	2/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601512071	Bolima Drafting & Design Inc	8/18/2011	N/A - Firm is still active	Active	1/14/2013	HNTB	
S	602408510	C & E Transport	10/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	602408510	C & E Transport	4/25/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602919268	C2PM, Inc.	9/1/2011	N/I	N/I	None	STP	No Retention Held
R	600237496	Cascade Concrete Products	9/1/2013	N/A - Firm is still active	5/7/2015	None	FD Thomas	
V	602365682	Casseday Consulting Inc.	7/29/2011	12/30/2011	12/30/2011	1/14/2013	HNTB	
V	601663491	Catherine Bassetti	3/5/2012	N/A - Firm is still active	Active	None	STP	
V	602542891	Chudgar Engineering Company	9/20/2011	N/A - Firm is still active	Active	1/14/2013	HNTB	
V	602384747	Civil Tech Engineering Inc	7/31/2012	N/A - Firm is still active	Active	None	STP	
V	602384747	Civil Tech Engineering Inc	9/1/2011	8/14/2013	8/14/2013	None	FCCC	
V	602399218	Convergent Pacific LLC	10/28/2011	9/27/2013	9/24/2013	1/14/2013	HNTB	
V	601518940	D K A Architecture	8/5/2011	9/6/2012	9/6/2012	1/14/2013	HNTB	
S	602953513	DBE Electric, Inc.	2/27/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602953513	DBE Electric, Inc.	11/28/2011	4/25/2012	9/12/2012	10/12/2012	FCCC	
S	602677969	DHD Trucking LLC	2/1/2012	N/A - Firm is still active	Active	None	STP	
S	602258601	Duncan Asphalt	5/13/2014	5/15/2014			STP	Retainage has not been released
V	602739282	Earth Mechanics, Inc.	5/1/2011	4/6/2012	4/2/2012	1/14/2013	HNTB	
S	601441115	Emerald City Weatherproofers	11/18/2012	1/3/2013	NA	None	ST Fabrication	
V	602576083	EMT LLC (environmental training)	1/3/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602067564	EPC Consultants Inc	7/3/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
R	601781913	Excel Supply Co	1/13/2015	N/A - Firm is still active	Active	None	STP	Jackets & hates
R	601781913	Excel Supply Co	5/10/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	safety supplies
V	601266522	Exeltech Consulting, Inc	8/4/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	578021472	Fryer-Knowles Inc	11/22/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	Flooring in operation buildings. Work start 9/2014
S	601404405	Garner Construction Inc	9/8/2014	2/2/2015	2/15/2015	None	STP	
S	601363240	Gibson Door & Millwork	10/15/2012	1/25/2013	NA	None	ST Fabrication	
S	603081735	Global Concrete Cutting Inc	6/19/2012	8/18/2012	11/7/2013	see notes	Leajak	pending resolution of litigation
S	603081735	Global Concrete Cutting Inc	9/30/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602504657	Global Geophysics	5/21/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602504657	Global Geophysics	5/1/2011	6/21/2011	NA	None	Hart Crowser Inc	Hart Crowser stated that Global Geophysics is a professional service provider and do not provide certified payrolls
S	602748267	Grady Excavating Inc.	11/29/2011	6/30/2013	7/8/2013	7/12/2013	FCCC	
S	602748267	Grady Excavating Inc.	3/1/2012	9/18/2013	9/24/2013	9/30/2013	STP	
V	602560706	Greylock Consulting LLC	10/1/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
R	602556355	Highway Specialities	8/26/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602461020	Integrated Design Engineering	1/6/2012	N/A - Firm is still active	Active	1/14/2013	HNTB	
S	601322160	J. Harper Contractors Inc.	11/7/2011	3/30/2012	6/1/2012	6/26/2012	STP	
V	601587500	J. Keiser & Associates	4/30/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602101301	JMR Trucking Inc	4/9/2014	4/14/2015	Active	None	OMA (3rd tier to NCM Group)	
S	602101301	JMR Trucking Inc	10/1/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	601919250	JP Francis & Assoc	7/17/2013	4/9/2014	Active	N/A - Firm is still active	STP	
S	601919250	JP Francis & Assoc - 1488	3/4/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Shinn Mechanical	
S	601919250	JP Francis & Assoc - 1533	9/5/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Shinn Mechanical	

	SR 99	Bored Tunnel Alternative DB						
	STP	Fed Employer I.D. #27-3509698						
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes
S	601919250	JP Francis & Assoc (plumbing)	4/10/2013	N/A - Firm is still active	NA	None	BASF	2/28/15 - pending firm's response
V	601426427	KBA	12/5/2012	N/A - Firm is still active	Active	None	STP	
S	602460885	Kiawa Trucking	6/29/2012	7/4/2012	9/26/2013	see notes	Leajak	pending resolution of litigation
S	601573914	Leajak Concrete Construction Inc	7/1/2012	9/22/2012	10/10/2013	see notes	Lorache CAD/IT Services	pending resolution of litigation
S	601573914	Leajak Concrete Construction Inc	6/23/2012	10/29/2012			STP	*Pending sub docs
S	602568958	Lorache CAD-IT Services LLC	6/18/2012				STP	*Pending sub docs
S	602210303	Magnum Crane LLC	12/17/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602671980	Mak's Trucking LLC	11/14/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	600412278	Marine Vacuum Service Inc (Mar-Vac)	7/20/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	600412278	Marine Vacuum Service Inc (Mar-Vac)	4/10/2012	7/20/2012	2/15/2015		Malcolm	Contract #1 - Closed
S	600412278	Marine Vacuum Service Inc (Mar-Vac)	1/7/2014	N/A - Firm is still active	Active	N/A - Firm is still active	NCM Group	
S	600412278	Marine Vacuum Service Inc (Mar-Vac) - Tank Removal	10/24/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601649423	Marshbank Const.	8/1/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	603001744	Meeds Environmental		N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602037833	Mindseekers	2/27/2013	N/A - Firm is still active	Active	None	STP	
R	578062075	Mobile Electric Distributors Inc.					VECA	
R	578062075	Mobile Electric Distributors Inc.	11/25/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
R	578062075	Mobile Electric Distributors Inc. - 0185	4/1/2012	N/A - Firm is still active	4/1/2012	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0444	4/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0572	6/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0632	4/1/2013	N/A - Firm is still active	4/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0673	5/1/2013	N/A - Firm is still active	5/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0680	5/1/2013	N/A - Firm is still active	5/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0720	6/1/2013	N/A - Firm is still active	6/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 118390	9/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 29250	10/1/2013	N/A - Firm is still active	10/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 31840	11/1/2013	N/A - Firm is still active	12/11/2013	None	Fisk	Last payment received on 12/11/13 - this PO was a double payment/issue and was reimbursed under PO 444 Inv. #184
R	578062075	Mobile Electric Distributors Inc. - 32814	6/14/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 45436	1/1/2014	N/A - Firm is still active	1/1/2014	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 7747	8/6/2013	N/A - Firm is still active	12/24/2013	None	Fisk	
R	578062075	Mobile Electrical Distributors	10/20/2014	1/22/2014	5/6/2015	None	US Electric	USE 1st Contract
S	602120171	Neppel Electric	9/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602120171	Neppel Electric	3/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Sice	
S	602120171	Neppel Electric	5/1/2015	N/A - Firm is still active	Active	N/A - Firm is still active	Sice	
V	603140359	Nolan Morrison Consulting	9/19/2011	N/I	N/I	None	STP	No Retention Held
S	601881866	Novito Construction Inc	4/1/2012	10/16/2013	12/23/2013	None	Hart Crowser Inc	
V	601643525	NVL Labs	11/10/2011	N/A - Firm is still active	Active	None	AMEC	Firm was decertified 4/25/14
S	602316638	Oatridge Security Group	10/10/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601872128	OMA Construction	7/29/2013	11/15/2013	9/1/2014	9/10/2014	KPG Inc	8/2014 - KPG will likely close out OMA's contract in the next month or two as it doesn't look like they will need them for any more installations. This will be confirmed with Phil Smith. 50% of retainage will be released when KPG receives retainage from Soldata at end of tunneling and the other 50% as per the prime agreement.
S	601872128	OMA Construction	3/1/2016	N/A - Firm is still active	Active	N/A - Firm is still active	NW Asphalt	
S	601872128	OMA Construction - Drainage (#1130)	10/1/2012	N/A - Firm is still active	Active	None	Desert Plumbing & Heating Co Inc	
S	601872128	OMA Construction - Rubble	2/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	NCM Group	
S	601872128	OMA Construction - Trucking North Portal	10/1/2012	N/A - Firm is still active	Active	None	STP	
S	601872128	OMA Construction - Trucking South Portal	10/1/2012	N/A - Firm is still active	Active	None	STP	
S	601872128	OMA Construction - Utility Deposition	2/1/2013	N/A - Firm is still active	Active	None	STP	
V	602896811	O'Neill Environmental Services LLC	5/11/2015	N/A - Firm is still active	Active	N/A - Firm is still active	HNTB	
V	602896811	O'Neill Environmental Services LLC	2/13/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601378055	On-Site Environmental Inc	12/14/2011	N/A - Firm is still active	Active	N/A - Firm is still active	Greylock	
V	602446858	Osborn Consulting Incorporated	5/1/2011	11/1/2012	11/1/2012	1/14/2013	HNTB	
V	602446858	Osborn Pacific Group	3/5/2012	8/6/2012	8/6/2012	1/14/2013	HNTB	
V	602884742	Osiris Enterprises LLC	1/12/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602326408	Pacific Geo Engineering (PGE)	4/1/2013	Active	Active	N/A - Firm is still active	Professional Services Industry (PSI)	

	SR 99 STP	Bored Tunnel Alternative DB Fed Employer I.D. #27-3509698						
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes
V	602326408	Pacific Geo Engineering (PGE)	1/4/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Mayes Testing	
S	602492304	Ponglia Trucking Inc	4/9/2014	4/14/2015	Active	None	OMA (3rd tier to NCM Group)	
S	602492304	Ponglia Trucking Inc	11/15/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	603140884	Pro USA LLC	7/23/2012	10/5/2012	10/18/2012	None	Grady	
S	603140884	Pro USA LLC	11/23/2013	N/A - Firm is still active	Active	N/A - Firm is still active	HOS	
S	603140884	Pro USA LLC	5/19/2014	8/30/2014	7/1/2014	None	Marshbank	
S	603140884	Pro USA LLC	1/14/2014	3/11/2014	3/11/2014	5/23/2014	NW Asphalt	
V	600428960	PRR Inc.	2/22/2011	N/A - Firm is still active	Active	None	STP	
S	602643779	Puget Sound Utilities	7/1/2013	8/18/2013	2/3/2014	None	OMA	Decertified 4/1/14
R	600410718	Quality Discount Supplies & Services	10/19/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601999311	Quality Woodworking	6/2/2015	Work has not started	Work has not started	Work has not started	STP	
S	600481702	Rebar International	4/10/2012	2/21/2013	4/16/2013	3/15/2013	FCCC	
S	600481702	Rebar International	8/22/2013	10/5/2013	10/13/2013	None	Harris Rebar	
V	602843104	Rose Super Clean & Park Management	4/6/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Osiris	
V	602628354	SAEZ Consulting	5/1/2011	N/A - Firm is still active	Active	1/14/13 & 3/12/14	HNTB	
V	602628354	SAEZ Consulting	4/30/2012	N/A - Firm is still active	Active	N/A - Firm is still active	KPG Inc	
V	602628354	SAEZ Consulting	8/31/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602682121	Savage Logistics LLC	6/17/2013	N/A - Firm is still active	Active	N/A - Firm is still active	KTI	
S	602682121	Savage Logistics LLC	2/15/2013	N/A - Firm is still active	Active	None	STP	
S	602682121	Savage Logistics LLC - PO #1279	11/20/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #1335	12/5/2013	N/A - Firm is still active	1/31/2014	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #778	6/25/2013	N/A - Firm is still active	9/7/2013	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #797	7/23/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #804	6/7/2013	N/A - Firm is still active	7/27/2013	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
V	602378706	Scheduling and Information Services Inc	4/8/2013	N/A - Firm is still active	Active	N/A - Firm is still active	JH Kelley	
V	602450813	Schemata Workshop	9/8/2014	N/A - Firm is still active	Active	Active	HNTB	Firm is active again per HNTB email 10/11/14
V	602450813	Schemata Workshop	4/16/2012	7/9/2013	11/29/2012	1/14/2013	HNTB	
S	601735583	Sea-Tac Sweeping Service	11/29/2011		3/15/2012	None	STP	pending affidavit
S	602651177	SSB Trucking & Construction	3/6/2013	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	602216144	ST Fabrication - Crane Maint.	6/5/2012	2/28/2014	2/28/2014	9/5/2014	STP	
R/M	602216144	ST Fabrication - Purchase Orders	6/19/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
M	602216144	ST Fabrication - Reefer Racks	5/30/2012	2/28/2014	2/28/2014	9/5/2014	STP	\$10K held until documents are reviewed and corrected
S	603064398	Steelkorr	4/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	603190024	Sundancer Electric	4/13/2015	N/A - Firm is still active	Active	N/A - Firm is still active	US Electric	USE 2nd Contract
S	454778504	Sundancer Electric	5/13/2014	7/15/2014	NA	None	Marshbank	
S	454778504	Sundancer Electric	2/6/2013	N/A - Firm is still active	Active	None	STP	
S	454778504	Sundancer Electric	1/9/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Sice	
S	602785735	Sunset Welding	7/5/2012	8/27/2012	1/15/2013	see notes	Leajak	pending resolution of litigation
S	602671547	Tan Trucking	4/9/2014	4/14/2015	Active	None	OMA (3rd tier to NCM Group)	
S	602671547	Tan Trucking	11/28/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
V	601191630	Teknograf		N/A - Firm is still active	Active	N/A - Firm is still active	Yonemitsu Geological	Requested Contract
R	601734719	The Bag Lady Inc	11/11/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	603056508	Transcon Company LLC	1/9/2012	12/31/2012	1/4/2013	3/15/2013	FCCC	
S	603056507	Transcon Company LLC	12/1/2011	N/A - Firm is still active	2/11/2013	None	Fisk	
S	603056508	Transcon Company LLC	5/9/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
S	603056507	Transcon Company LLC	12/9/2013	N/A - Firm is still active	Active	None	STP	
S	602081190	Trinity Development Corp (TLC)	10/15/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
V	601767647	TripleNet Technologies Inc	1/9/2012	N/I	N/I	None	STP	No Retention Held
S	601443883	United Professional Caulking & Restoration Inc (Unipro)	11/3/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601965843	United Reprographics	1/12/2015	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602621504	Wakerobin LLC	9/26/2011	N/A - Firm is still active	Active	1/14/2013	HNTB	
S	601398735	Washington State Trucking	8/12/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
M	602240125	Wayron LLC	1/9/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
M	602240125	Wayron LLC #116168		N/A - Firm is still active	Active	N/A - Firm is still active	Desert Plumbing & Heating Co Inc	
M	602240125	Wayron LLC #12-09-1000-009	2/13/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Desert Plumbing & Heating Co Inc	
V	600279746	West Coast Printing	4/5/2011	11/12/2014	9/9/2014	None	STP	Firm closed business 11/2014
V	601609012	Yonemitsu Geological Services		N/A - Firm is still active	Active	N/A - Firm is still active	Holocene Drilling (3rd Tier SolData)	
V	601609012	Yonemitsu Geological Services	7/8/2011	9/12/2011	8/25/2011	1/14/2013	HNTB	

	SR 99	Bored Tunnel Alternative DB						
	STP	Fed Employer I.D. #27-3509698						
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes
V	601609012	Yonemitsu Geological Services	12/5/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601609011	Yonemitsu Geological Services	7/20/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Holocene Drilling	
Chart Key:								
Pending information								
Added this month								

Attachment 7: SR 99 Tunnel Design Build Contract- DBE Certified Payroll Hours Verification, July 2015

Contractor/Subcontractor	Prime Contract/ Upper Tier	Number of Journeyman	Number of Apprentices	Craft/Trade	Journeyman Hours Worked	Apprentice Hours Worked	STP's Total Hours Worked	Journeyman Totals from Certified Payroll	Appr. Hrs from Certified Payroll	WSDOT Verif. of Total Hours Worked	Difference (Delta)	Month Year	Comments
DHD Trucking	STP	1	0	Street Sweeper	136	0	136	136	0	136	0	Jul-15	
JP Francis	Shinn 2/DM/JHK	4	1	Plumber	622	70	692	529	70	599	93	Jul-15	Calendar month
Mak's Dump Trucking	OMA	1	0	Truck Driver (Owner Operator)	47.75	0	47.75	30.25	0	30.25	17.5	Jul-15	Calendar month
OMA - Job 1133 South Portal	STP	8	0	Truck Driver	306.25	0	306.25	273.5	0	273.5	32.75	Jul-15	Calendar month
Ponglia Trucking	OMA	1	0	Truck Driver (Owner Operator)	45	0	45	45	0	45	0	Jul-15	
Savage Logistics	STP	1	0	Truck Driver	160	0	160	184	0	184	-24	Jul-15	Calendar month
SteelKorr	STP	17	7	Ironworker	2223	1010	3233	2254.5	934	3188.5	44.5	Jul-15	Calendar month
Sundancer Electric	US Electric	4	1	Electrician	858.5	220	1078.5	858.5	220	1078.5	0	Jul-15	
Tan Trucking	OMA	1	0	Truck Driver (Owner Operator)	41.25	0	41.25	41.25	0	41.25	0	Jul-15	
Trinity Development	OMA	1	0	Truck Driver (Owner Operator)	69	0	69	74.5	0	74.5	-5.5	Jul-15	Calendar month
		39	9		4508.75	1300	5808.75	4426.5	1224	5650.5	158.25		

1 **(August 3, 2015)**

2 ***Disadvantaged Business Enterprise Condition of Award Participation***

3 The Disadvantaged Business Enterprise (DBE) requirements of 49 CFR Part 26 and
 4 USDOT's official interpretations (i.e., Questions & Answers) apply to this Contract.
 5 Demonstrating compliance with these Specifications is a Condition of Award (COA) of
 6 this Contract. Failure to comply with the requirements of this Specification may result in
 7 your Bid being found to be nonresponsive resulting in rejection or other sanctions as
 8 provided by Contract.

9
 10 **DBE Abbreviations and Definitions**

11 **Broker** – A business firm that provides a bona fide service, such as
 12 professional, technical, consultant or managerial services and assistance in
 13 the procurement of essential personnel, facilities, equipment, materials, or
 14 supplies required for the performance of the Contract; or, persons/companies
 15 who arrange or expedite transactions.

16
 17 **Disadvantaged Business Enterprise (DBE)** – A business firm certified by the
 18 Washington State Office of Minority and Women's Business Enterprises, as
 19 meeting the criteria outlined in 49 CFR 26 regarding DBE certification.

20
 21 **Commercially Useful Function (CUF)**

22 49 CFR 26.55(c)(1) defines commercially useful function as: *"A DBE performs*
 23 *a commercially useful function when it is responsible for execution of the work*
 24 *of the contract and is carrying out its responsibilities by actually performing,*
 25 *managing, and supervising the work involved. To perform a commercially*
 26 *useful function, the DBE must also be responsible, with respect to materials*
 27 *and supplies used on the contract, for negotiating price, determining quality*
 28 *and quantity, ordering the material, and installing (where applicable) and*
 29 *paying for the material itself. To determine whether a DBE is performing a*
 30 *commercially useful function, you must evaluate the amount of work*
 31 *subcontracted, industry practices, whether the amount the firm is to be paid*
 32 *under the contract is commensurate with the work it is actually performing and*
 33 *the DBE credit claimed for its performance of the work, and other relevant*
 34 *factors."*

35
 36 **DBE Commitment** – The dollar amount the Contractor indicates they will be
 37 subcontracting to be applied towards the DBE Condition of Award Goal as
 38 shown on the DBE Utilization Certification Form, and in the Bid Item break
 39 down for each DBE Subcontractor. This DBE Commitment amount will be
 40 incorporated into the Contract and shall be considered a Contract requirement.
 41 Any changes to the DBE Commitment shall require Engineer's approval.

42
 43 **DBE Condition of Award (COA) Goal** – An assigned numerical percentage of
 44 the Bid amount of the Contract. This is the minimum amount that the Bidder
 45 must commit to by submission of the Utilization Certification Form and/or by
 46 Good Faith Effort (GFE). The DBE COA Goal will also be applied to change
 47 orders associated with this Contract.

48
 49 **DBE Directory of Certified Firms** – A publication listing all Minority, Women,
 50 and Disadvantaged Business Enterprises currently certified by the
 51 Washington State Office of Minority and Women's Business Enterprises
 52 (OMWBE). The on-line Directory is available to contractors for their use in

1 identifying and soliciting interest from DBE firms whose participation on a
2 contract may be counted toward achievement of the assigned DBE COA Goal.

3
4 **Description of Work** – Specific descriptions of work that the DBE is certified
5 to perform, as identified in the OMWBE Directory of Certified Firms, under the
6 DBE's profile page.

7
8 **Good Faith Efforts** – Efforts to achieve the DBE COA Goal or other
9 requirements of this part which, by their scope, intensity, and appropriateness
10 to the objective, can reasonably be expected to fulfill the program requirement.

11
12 **Manufacturer (DBE)** – A DBE firm that operates or maintains a factory or
13 establishment that produces on the premises the materials, supplies, articles,
14 or equipment required under the Contract. A DBE Manufacturer shall produce
15 finished goods or products from raw or unfinished material or purchase and
16 substantially alters goods and materials to make them suitable for construction
17 use before reselling them.

18
19 **Regular Dealer (DBE)** – A DBE firm that owns, operates, or maintains a store,
20 warehouse, or other establishment in which the materials or supplies required
21 for the performance of a Contract are bought, kept in stock, and regularly sold
22 to the public in the usual course of business. To be a Regular Dealer, the DBE
23 firm shall engage in, as its principal business and in its own name, the
24 purchase and sale of the products in question. A Regular Dealer in such items
25 as steel, cement, gravel, stone, and petroleum products need not keep such
26 products in stock if it owns or operates distribution equipment. Brokers and
27 packagers shall not be regarded as Regular Dealers within the meaning of this
28 definition.

29
30 **DBE COA Goal**

31 The Contracting Agency has established a COA Contract Goal in the amount of: ***
32 \$\$1\$\$ ***

33
34 **DBE Eligibility/Selection of DBEs**

35 A Directory of Certified Firms is available at the OMWBE web site. A description of
36 specific items of work that a DBE is certified to perform is shown in the directory on
37 the DBE's profile page.

38
39 **Crediting DBE Participation**

40 Subcontractors proposed as COA must be certified prior to the due date for bids on
41 the Contract. All non-COA DBE Subcontractors shall be certified before the
42 subcontract on which it is participating is executed.

43
44 DBE participation cannot be counted toward the Contractor's contract goal until the
45 amount being counted has actually been paid to the DBE.

46 The following are some examples of what may be counted as DBE participation. In
47 all cases the DBE must be certified for the work being considered and must be
48 capable of performing a CUF during the execution of the Work.

1 **DBE Prime Contractor**

2 A DBE Contractor may only take credit for that portion of the total dollar value
3 of the Contract equal to the distinct, clearly defined portion of the Work that the
4 DBE performs with its own forces.

5
6 **DBE Subcontractor**

7 Only that portion of the total dollar value of the subcontract equal to the
8 distinct, clearly defined portion of the Work that the DBE performs with its own
9 forces. Include the cost of supplies and materials obtained by the DBE for its
10 work on the contract, and equipment leased by the DBE.

11
12 The supplies, materials, and equipment purchased or leased from the
13 Contractor or its affiliate shall not be credited. Including any Contractor's
14 resources available to DBE subcontractors at no cost.

15
16 If a DBE subcontracts a portion of the Work of its contract to another firm, the
17 value of the subcontracted Work may be counted toward the DBE COA Goal
18 only if the DBE's Lower-Tier Subcontractor is also a DBE. Work subcontracted
19 to a non-DBE does not count towards the DBE COA Goal.

20
21 Count expenditures toward DBE COA Goal only if the DBE is performing a
22 commercially useful function (CUF) on that contract.

23
24 **DBE Subcontract and Lower Tier Subcontract Documents**

25 There must be a subcontract agreement that complies with 49 CFR Part 26
26 and fully describes the distinct elements of Work committed to be performed
27 by the DBE. The subcontract agreement shall incorporate requirements of the
28 primary Contract. Subcontract agreements of all tiers, including lease
29 agreements shall be readily available at the project site for the Engineer
30 review.

31
32 **DBE Broker/Packager**

33 The value of fees or commissions charged by a DBE Broker or a DBE
34 behaving in a manner of a Broker for providing a bona fide service, such as
35 professional, technical, consultant, managerial services, or for providing bonds
36 or insurance will only be credited towards meeting the DBE COA Goal if the
37 firm is determined to be performing a CUF.

38
39 **Force Account Work**

40 When the Contractor elects to utilize force account Work to meet the DBE
41 COA Goal, as demonstrated by listing this force account Work on the DBE
42 Utilization Certification Form, for the purposes of meeting DBE COA Goal, only
43 50% of the Proposal amount shall be credited toward the Contractors
44 Commitment to meet the DBE COA Goal.

45
46 One hundred percent of the actual amounts paid to the DBE for the force
47 account Work shall be credited towards DBE COA Goal.

48
49 **Trucking**

50 The DBE trucking firm receives credit for the value of the transportation
51 services it provides on the Contract using trucks it owns or leases, licenses,
52 insures, and operates with drivers it employs.

The Work that a DBE trucking firm performs with trucks it leases from other certified DBE trucking firms qualify for 100% DBE credit.

Only the fees/commissions the DBE receives for arranging the transportation services provided is credited when trucks are leased from non-DBE trucking firm. The trucking Work subcontracted to any non-DBE trucking firm will not receive credit for Work done on the project.

Truck registration and lease agreements shall be readily available at the project site for the Engineer review.

DBE Manufacturer and DBE Regular Dealer

If materials or supplies are obtained from a DBE Manufacturer, 100 percent of the cost of materials or supplies can count toward the DBE COA Goal. The DBE Manufacturer shall be certified as such by OMWBE.

Sixty percent (60%) of the cost of materials or supplies purchased from a DBE Regular Dealer may be credited toward meeting the DBE COA Goal. If the role of the DBE Regular Dealer is determined to be that of a Broker, then the DBE credit shall be limited to the fee or commission it receives for its services. Regular Dealer status is granted on a Contract-by-Contract basis.

A firm wishing to be approved as a Regular Dealer must submit a request in writing to WSDOT for approval, no later than ten working days prior to Bid opening. The Approved Regular Dealers List is published on WSDOT's Office of Equal Opportunity (OEO) web site.

Purchase of materials or supplies from a DBE which is neither a manufacturer nor a regular dealer, (i.e. Broker) only the fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, can count toward DBE COA Goal, provided the fees are not excessive as compared with fees customarily allowed for similar services. The cost of the materials and supplies themselves cannot be counted toward DBE COA Goal.

Note: Requests to be listed as a Regular Dealer will only be processed if the requesting firm is certified by the Office of Minority and Women's Business Enterprises in a NAICS code that fall within the 42XXXX NAICS Wholesale code section.

Disadvantaged Business Enterprise Utilization Certification FORM # 272-056 EF

To be eligible for award of the Contract, the Bidder shall properly complete and submit a Disadvantaged Business Enterprise Utilization Certification with the Bidder's sealed Bid Proposal, as specified in Section 1-02.9 Delivery of Proposal. The Bidder's Disadvantaged Business Enterprise Utilization Certification must clearly demonstrate how the Bidder intends to meet the DBE COA Goal. A Disadvantaged Business Enterprise Utilization Certification (WSDOT Form 272-056

EF) is included in your Proposal package for this purpose as well as instructions on how to properly fill out the form.

The Bidder is advised that the items listed below when listed in the Utilization Certification must have their amounts reduced to the percentages shown and those reduced amounts will be the amount applied towards meeting the DBE COA Goal.

- Force account at 50%
- Regular dealer at 60%

In the event of arithmetic errors in completing the Disadvantaged Business Enterprise Utilization Certification the amount listed to be applied towards the DBE COA Goal for each DBE shall govern and the DBE total amount shall be adjusted accordingly.

Note: The Contracting Agency shall consider as non-responsive and shall reject any Bid Proposal submitted that does not contain a Disadvantaged Business Enterprise Utilization Certification Form that accurately demonstrates how the Bidder intends to meet the DBE COA Goal.

Disadvantaged Business Enterprise Written Confirmation Document(s) FORM # 422-031 EF

The Bidder shall submit a Disadvantaged Business Enterprise Written Confirmation Document (completed and signed by the DBE) for each DBE firm listed in the Bidder's completed Disadvantaged Business Enterprise Utilization Certification submitted with the Bid. Failure to do so will result in the associated participation being disallowed, which may cause the Bid to be determined to be nonresponsive resulting in Bid rejection.

The Confirmation Documents provide confirmation from the DBEs that they are participating in the Contract as provided in the Contractor's Commitment. The Confirmation Documents must be consistent with the Utilization Certification.

A Disadvantaged Business Enterprise Written Confirmation Document (form No. 422-031 EF) is included in your Proposal package for this purpose.

The form(s) shall be received as specified in the special provisions for Section 1-02.9 Delivery of Proposal.

It is prohibited for the Bidder to require a DBE to submit a Written Confirmation Document with any part of the form left blank. Should the Contracting Agency determine that a Written Confirmation Document was signed by a DBE that was not complete; the validity of the document comes into question and the associated DBE participation may not receive credit.

Selection of Successful Bidder/Good Faith Efforts (GFE)

The successful Bidder shall be selected on the basis of having submitted the lowest responsive Bid, which demonstrates a good faith effort to achieve the DBE COA Goal. Achieving the DBE COA Goal may be accomplished in one of two ways, as follows:

1 1. By meeting the DBE COA Goal

2 The best indication of GFE is to document, through submission of the
3 Disadvantaged Business Enterprise Utilization Certification and supporting
4 Disadvantaged Business Enterprise Written Confirmation Document(s)
5 that the Bidder has obtained enough DBE participation to meet or exceed
6 the assigned DBE COA Goal. That being the case, no additional GFE
7 documentation is required. Or;

8
9 2. By documentation that the Bidder made adequate GFE to meet the DBE
10 COA Goal

11 The Bidder may demonstrate a GFE in whole or part through GFE
12 documentation ONLY IN THE EVENT a Bidder's efforts to solicit sufficient
13 DBE participation have been unsuccessful. In this case, the Bidder must
14 supply GFE documentation in addition to the Disadvantaged Business
15 Enterprise Utilization Certification, and supporting Disadvantaged
16 Business Enterprise (DBE) Written Confirmation Document(s).

17
18
19 Note: In the case where the Bidder was awarded the contract based on
20 demonstrating adequate GFE the advertised DBE COA Goal will not
21 be reduced to the Bidder's partial commitment. Further, the Bidder
22 shall demonstrate a GFE during the life of the Contract to attain the
23 DBE COA Goal as assigned to the project.

24
25 GFE documentation shall be received, as specified in the special provisions for
26 Section 1-02.9 Delivery of Proposal.

27
28 Based upon all the relevant documentation submitted in Bid or as a supplement to
29 Bid, the Contracting Agency shall determine whether the Bidder has demonstrated
30 sufficient GFE to achieve DBE participation. The Contracting Agency will make a
31 fair and reasonable judgment of whether a Bidder that did not meet the DBE COA
32 Goal through participation, made adequate good faith efforts as demonstrated by
33 the GFE documentation.

34
35 **Good Faith Effort (GFE) Documentation**

36 The following is a list of types of actions, which would be considered as part of the
37 Bidder's GFE to achieve DBE participation. It is not intended to be a mandatory
38 checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of
39 efforts may be relevant in appropriate cases.

- 40
41 1. Soliciting through all reasonable and available means (e.g. attendance at
42 pre-bid meetings, advertising and/or written notices) the interest of all
43 certified DBEs who have the capability to perform the Work of the
44 Contract. The Bidder must solicit this interest within sufficient time to allow
45 the DBEs to respond to the solicitation. The Bidder must determine with
46 certainty if the DBEs are interested by taking appropriate steps to follow
47 up initial solicitations.
- 48
49 2. Selecting portions of the Work to be performed by DBEs in order to
50 increase the likelihood that the DBE COA Goal will be achieved. This
51 includes, where appropriate, breaking out contract Work items into
52 economically feasible units to facilitate DBE participation, even when the

1 Contractor might otherwise prefer to perform these Work items with its
2 own forces.

- 3
- 4 3. Providing interested DBEs with adequate information about the Plans,
5 Specifications, and requirements of the Contract in a timely manner to
6 assist them in responding to a solicitation.
- 7
- 8 a. Negotiating in good faith with interested DBEs. It is the Bidder's
9 responsibility to make a portion of the Work available to DBE
10 subcontractors and suppliers and to select those portions of the Work
11 or material needs consistent with the available DBE subcontractors
12 and suppliers, so as to facilitate DBE participation. Evidence of such
13 negotiation includes the names, addresses, and telephone numbers
14 of DBEs that were considered; a description of the information
15 provided regarding the Plans and Specifications for the Work
16 selected for subcontracting; and evidence as to why additional
17 agreements could not be reached for DBEs to perform the Work.
- 18
- 19 b. A Bidder using good business judgment would consider a number of
20 factors in negotiating with subcontractors, including DBE
21 subcontractors, and would take a firm's price and capabilities as well
22 as the DBE COA Goal into consideration. However, the fact that there
23 may be some additional costs involved in finding and using DBEs is
24 not in itself sufficient reason for a Bidder's failure to meet the DBE
25 COA Goal, as long as such costs are reasonable. Also, the ability or
26 desire of a Contractor to perform the Work of a Contract with its own
27 organization does not relieve the Bidder of the responsibility to make
28 Good Faith Efforts. Contractors are not, however, required to accept
29 higher quotes from DBEs if the price difference is excessive or
30 unreasonable.
- 31
- 32 4. Not rejecting DBEs as being unqualified without sound reasons based on
33 a thorough investigation of their capabilities. The Contractor's standing
34 within its industry, membership in specific groups, organizations, or
35 associations and political or social affiliations (for example union vs. non-
36 union employee status) are not legitimate causes for the rejection or non-
37 solicitation of bids in the Contractor's efforts to meet the DBE COA Goal.
- 38
- 39 5. Making efforts to assist interested DBEs in obtaining bonding, lines of
40 credit, or insurance as required by the recipient or Contractor.
- 41
- 42 6. Making efforts to assist interested DBEs in obtaining necessary
43 equipment, supplies, materials, or related assistance or services.
- 44
- 45 7. Effectively using the services of available minority/women community
46 organizations; minority/women contractors' groups; local, State, and
47 Federal minority/women business assistance offices; and other
48 organizations as allowed on a case-by-case basis to provide assistance in
49 the recruitment and placement of DBEs.
- 50
- 51 8. Documentation of GFE must include copies of each DBE and non-DBE
52 subcontractor quotes submitted to the Bidder when a non-DBE

1 subcontractor is selected over a DBE for Work on the Contract. (ref.
2 updated DBE regulations – 26.53(b)(2)(vi) & App. A)
3

4 **Administrative Reconsideration of GFE Documentation**

5 Any Bidder has the right to reconsideration but only for the purpose of reassessing
6 the GFE documentation that was originally submitted with their Bid, and determined
7 to be inadequate.
8

- 9 • The Bidder must request within 48 hours of GFE determination and
10 schedule a reconsideration hearing within seven calendar days of
11 notification of being nonresponsive or forfeit the right to reconsideration.
12
- 13 • The reconsideration decision on the adequacy of the Bidder's GFE
14 documentation shall be made by an official who did not take part in the
15 original determination.
16
- 17 • Only the GFE documentation submitted and evaluated to meeting the
18 required DBE COA Goal shall be considered. Bidder shall not introduce
19 new documentation at the reconsideration hearing.
20
- 21 • The Bidder shall have the opportunity to meet in person with the official for
22 the purpose of setting forth the Bidder's position as to why the GFE
23 documentation demonstrates a sufficient effort.
24
- 25 • The reconsideration official shall provide the Bidder with a written decision
26 on reconsideration within five working days of the hearing explaining the
27 basis for their finding.
28

29 **Procedures between Award and Execution**

30 After Award and prior to Execution, the Contractor shall provide the additional
31 information described below. Failure to comply shall result in the forfeiture of the
32 Bidder's Proposal bond or deposit.
33

- 34 1. Additional information for all successful DBEs as shown on the
35 Disadvantaged Business Enterprise Utilization Certification:
36
 - 37 a. Correct business name, federal employee identification number (if
38 available), and mailing address.
39
 - 40 b. List of all Bid items (with a clear description of the Work to be
41 performed) assigned to each successful DBE, including the dollar
42 value.
43
 - 44 c. Description of partial items (if any) to be sublet to each successful
45 DBE specifying the Work committed under each item to be performed
46 and including the dollar value of the DBE portion.
47
 - 48 d. Total amounts shown for each DBE shall match the amount shown
49 on the Disadvantaged Business Enterprise Utilization Certification. A
50 breakdown that does not conform to the Disadvantaged Business
51 Enterprise Utilization Certification or that demonstrates a different
52 amount of DBE participation than that included in the Disadvantaged

Business Enterprise Utilization Certification will be returned for correction.

2. A list of all firms who submitted a bid or quote in attempt to participate in this project whether they were successful or not. Include the business name and mailing address.

Note: The firms identified by the Contractor may be contacted by the Contracting Agency to solicit general information as follows: age of the firm and average of its gross annual receipts over the past three-years.

Procedures after Execution

Commercially Useful Function (CUF)

The Contractor may only take credit for the payments made for Work performed by a DBE that is determined to be performing a CUF. This applies to all DBEs performing Work on a project, whether or not the DBEs are COA, if the Contractor wants to receive credit for their participation. The Engineer will conduct CUF reviews to ascertain whether DBEs are performing a CUF. A DBE performs a CUF when it is carrying out its responsibilities of its contract by actually performing, managing, and supervising the Work involved. The DBE must be responsible for negotiating price; determining quality and quantity; ordering the material and installing (where applicable); and paying for the material itself. If a DBE does not perform "all" of these functions on a furnish-and-install contract, it has not performed a CUF and the cost of materials cannot be counted toward DBE COA Goal. Leasing of equipment from a leasing company is allowed. However, leasing/purchasing equipment from the Contractor is not allowed. Lease agreements shall be readily available for review by the Engineer.

In order for a DBE traffic control company to be considered to be performing a CUF, the DBE must be in control of its work inclusive of supervision. The DBE shall employ a Traffic Control Supervisor who is directly involved in the management and supervision of the traffic control employees and services.

The DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which the funds are passed in order to obtain the appearance of DBE participation.

The Engineer will use the following factors in determining whether a DBE trucking company is performing a CUF:

- The DBE shall be responsible for the management and supervision of the entire trucking operation. The owner demonstrates business related knowledge, shows up on site and is active in running the business.
- The DBE finances are independently controlled by the DBE.
- The DBE shall with its own workforce, operate at least one fully licensed, insured, and operational truck used on the Contract. Employees are shown exclusively on the DBE payroll.

- The DBE may lease trucks without drivers from a non-DBE truck leasing company. If the DBE leases trucks from a non-DBE truck leasing company and uses its own employees as drivers, it is entitled to credit for the total value of these hauling services.
- Lease agreements for trucks shall indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others provided it is with the consent of the DBE and the lease provides the DBE absolute priority for use of the leased truck.
- Leased trucks shall display the name and identification number of the DBE.
- Leased trucks shall be driven by DBE employees included in the DBE's payroll.

The DBE may lease trucks from another DBE including a DBE owner-operator. The DBE who leases trucks from another DBE shall claim participation for the total value of the transportation services the lessee DBE provides on the Contract.

Joint Checking

A joint check is issued by a Contractor to a Subcontractor and to a material supplier for items or services to be incorporated into a project.

A joint check agreement must be approved by the Engineer and requested by the DBE involved using the DBE Joint Check Request Form (form # 272-053) prior to its use. The form must accompany the DBE Joint Check Agreement between the parties involved, including the conditions of the arrangement and expected use of the joint checks.

The approval to use joint checks and the use will be closely monitored by the Engineer. To receive DBE credit for performing a CUF with respect to obtaining materials and supplies, a DBE must "be responsible for negotiating price, determining quality and quantity, ordering the material and installing (where applicable) and paying for the material itself." The Contractor shall submit DBE Joint Check Request Form for the Engineer approval prior to using a joint check.

Material costs paid by the Contractor directly to the material supplier are not allowed. If proper procedures are not followed or the Engineer determines that the arrangement results in lack of independence for the DBE involved, no DBE credit will be given for the DBE's participation as it relates to the material cost.

Prompt Payment

Refer to Section 1-08.1 for Prompt Payment requirements associated with this contract.

Reporting

All certified DBE Work whether COA or race neutral participation is reported. The Contractor shall submit a Monthly Report of Amounts Credited as DBE Participation to the Project Engineer each month, regardless of whether payments were made or Work occurred, between Execution of the Contract and the final amounts paid to DBE contractor or Completion of the Contract using the application available at: <https://remoteapps.wsdot.wa.gov/mapsdata/tools/dbeparticipation/>. The monthly report is due 20 calendar days following the end of the month. After Execution of the Contract, the Contractor shall send an e-mail to DBEPAdmin@wsdot.wa.gov containing the following information: the first and last name, e-mail address, title and phone number of the person that will be submitting the above documents for the Contractor. The e-mail shall include the WSDOT contract number they will be reporting on. After receipt of this information by WSDOT, the Contractor will receive an e-mail containing their username and password for the application and a link to the application. Reporting instructions are available in the application.

In the event that the payments to a DBE contractor have been made by an entity other than the Contractor, as in the case of a lower-tier Subcontractor or supplier, then the Contractor shall obtain evidence of payments from the paying entity and report these payments to the Engineer.

Changes in COA Work Committed to DBE

The Contractor shall utilize the COA DBEs to perform the work and supply the materials for which each is committed unless approved by the Engineer. The Contractor shall not be entitled to any payment for work or material completed by the Contractor or subcontractors that was committed to be completed by the COA DBEs.

Owner Initiated Changes

The Engineer will consider the impact on DBE participation in instances where the Engineer changes Work that was committed to a DBE at the time of Contract Award. In such instances, the Contractor shall not be required to substitute for the Work but is encouraged to do so. The Engineer may direct DBE participation or solicitation of DBEs as part of a change order.

Contractor-Initiated Changes

The Contractor cannot reduce the amount of work of a COA DBE without good cause, even if the Contractor continues to meet the DBE COA Commitment through other means. Reducing a COA DBE's Commitment is viewed as a partial DBE termination, subject to the procedures below.

Original Quantity Under runs

In the event that Work committed to a DBE firm as part of the COA underruns the original planned quantities the Contractor is encouraged to substitute the remaining applicable Work to another DBE but is not required to do so.

Contractor Proposed DBE Substitutions

Requests to substitute a COA DBE must be for good cause (see DBE termination process below), and requires the written approval of the Engineer. After receiving a termination with good cause approval, the Contractor may

only replace a DBE with another certified DBE. When any changes encountered between Contract Award and Execution that result in a substitution of COA DBE, the substitute DBE shall be certified prior to the due date for bids on the Contract.

DBE Termination

Termination of a COA DBE (or an approved substitute DBE) is only allowed in whole or in part with prior written approval of the Engineer. The Contractor must have good cause to terminate a COA DBE.

Good cause typically includes situations where the DBE Subcontractor is unable or unwilling to perform the work of its subcontract. Good cause may exist if:

- The DBE fails or refuses to execute a written contract.
- The DBE fails or refuses to perform the Work of its subcontract in a way consistent with normal industry standards.
- The DBE fails or refuses to meet the Contractor's reasonable nondiscriminatory bond requirements.
- The DBE becomes bankrupt, insolvent, or exhibits credit unworthiness.
- The DBE is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to federal law or applicable State law.
- The DBE voluntarily withdraws from the project, and provides written notice of its withdrawal.
- The DBE's work is deemed unsatisfactory by the Engineer and not in compliance with the contract.
- The DBE's owner dies or becomes disabled with the result that the DBE is unable to complete its Work on the contract.

Good cause does not exist if:

- The Contractor seeks to terminate a COA DBE so that the Contractor can self-perform the Work.
- The Contractor seeks to terminate a COA DBE so the Contractor can substitute another DBE contractor or non-DBE contractor after Contract Award.
- The failure or refusal of the COA DBE to perform its Work on the subcontract results from the bad faith or discriminatory action of the Contractor (e.g., the failure of the Contractor to make timely payments or the unnecessary placing of obstacles in the path of the DBE's Work).

Prior to requesting termination, the Contractor shall give notice in writing to the DBE with a copy to the Engineer of its intent to request to terminate DBE Work and the reasons for doing so. The DBE shall have five (5) working days to respond to the Contractor's notice. The DBE's response shall either support the termination or advise the Engineer and the Contractor of the reasons it objects to the termination of its subcontract.

When a COA DBE is terminated, or fails to complete its work on the contract for any reason, the Contractor shall substitute with another DBE, substitute other DBE participation or provide documentation of GFE. A plan to achieve the COA DBE Commitment shall be submitted to the Engineer within 2 working days of the approval of termination or the Contract shall be suspended until such time the substitution plan is submitted.

Decertification/Graduation

When a DBE is "decertified" or "graduates" from the DBE program during the course of the Contract, the participation of that DBE shall continue to count towards the DBE COA Goal as long as the subcontract with the DBE was executed prior to the decertification notice. The Contractor is obligated to substitute when a DBE does not have an executed subcontract agreement at the time of decertification/graduation.

Consequences of Non-Compliance

Breach of Contract

Each contract with a Contractor (and each subcontract the Contractor signs with a Subcontractor) must include the following assurance clause:

The Contractor, subrecipient, or Subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the Contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

- (1) Withholding monthly progress payments;
- (2) Assessing sanctions;
- (3) Liquidated damages; and/or
- (4) Disqualifying the Contractor from future bidding as non-responsible.

Notice

If the Contractor or any Subcontractor, Consultant, Regular Dealer, or service provider is deemed to be in non-compliance, the Contractor will be informed in writing, by certified mail by the Engineer that sanctions will be imposed for failure to meet the DBE COA Commitment and/or submit documentation of good faith efforts. The notice will state the specific sanctions to be imposed which may include impacting a Contractor or other entity's ability to participate in future contracts.

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Sanctions

If it is determined that the Contractor's failure to meet all or part of the DBE COA Commitment is due to the Contractor's inadequate good faith efforts throughout the life of the Contract, including failure to submit timely, required Good Faith Efforts information and documentation, the Contractor may be required to pay DBE penalty equal to the amount of the unmet Commitment, in addition to the sanctions outlined in Section 1-07.11(5).

Payment

Compensation for all costs involved with complying with the conditions of this Specification and any other associated DBE requirements is included in payment for the associated Contract items of Work, except otherwise provided in the Specifications.

WSDOT DBE NEWS

SEPTEMBER
QUARTERLY EDITION

TRAINING & OTHER SERVICES

Small Business Administration – Learning Center

Take a class anywhere, anytime with the Small Business Administration's (SBA) – Learning Center. The SBA's Learning Center is a virtual campus offering online sources, publications, and other forms of technical assistance. Courses are typically self-paced, free and take about 30 minutes to complete. Some of the classes include:

- Business Opportunities: A Guide to Winning Federal Contracts
- Customer Services
- Strategic Planning
- How to Write a Business Plan
- Introduction to Accounting

Access the all the training at: www.sba.gov/tools/sba-learning-center/search/training.

FREE PLANS, SPECIFICATIONS AND MANUALS

WSDOT offers free plans, specifications and manuals to DBEs. Also, WSDOT sends out weekly email Notice to Contractor and Consultants, containing upcoming opportunities, events and free training. If you are interested in either of these, please email DBESS@wsdot.wa.gov or call toll free (888) 259-9143.

Mike North OEO's new Interim Director



On August 1st, Mike North joined WSDOT as Interim Director of our Office of Equal Opportunity (OEO). OEO is responsible for a number of important programs and activities that directly impact the DBE community and Mike is excited to step in to help bridge the gap in OEO leadership, while WSDOT conducts a nationwide search for a permanent OEO Director. As an agency, WSDOT has strengthened our DBE program and continues to work hard to ensure that all businesses have an equal opportunity to participate on our transportation projects.

Mike is committed to ensuring a fair and equitable environment for DBEs, if you have any questions, comments or concerns please contact NorthM@wsdot.wa.gov or 360.705.7095.

Dennis Worrell is OEO's new Business Development Advisor



On August 17th, Dennis Worrell joined WSDOT OEO as the Business Development Advisor. Dennis has over twenty years' private sector experience in marketing, management, construction, and sales. His extensive business experience will make him a valuable asset to the DBE community and to our team! Dennis will be working in the DBE Support Services Program assisting small disadvantaged business owners in the Long Term Business Development Program. Dennis will be working with other agency and professional partners on delivering services and technical assistance to help you succeed.

If you are interested in becoming more strategic in your business planning or want to know how to position your company to do business with WSDOT contact Dennis via telephone at 360.705.7088 or WorrelD@wsdot.wa.gov.

SAVE THE DATE

2015 BUSINESS AFTER HOURS
NOVEMBER 12TH
FROM 5:00 TO 8:00 PM
PIER 66 IN SEATTLE

Sound Transit, the Port of Seattle, and Washington State Department of Transportation (WSDOT) are sponsoring the sixth annual Business After Hours Event! This event is for small, veteran, minority and women owned consulting and construction firms to network and establish meaningful relationships with prime contractors, consultants and agency staff, all in a casual and engaging atmosphere. This event includes an awards ceremony, networking opportunities with prime contractors and consultants, and refreshments. More information, including registration, will be coming later this fall.

Because You Asked...

What is a Commercially Useful Function?

A Commercially Useful Function or CUF is an important task that you as a DBE must do if you are performing work on WSDOT projects to count towards the project goals or the overall DBE goal. Repetitive findings of not performing a CUF can jeopardize your DBE certification status and in rare circumstance could result in legal trouble. To make sure you are performing a CUF when working on a federal-aid project, here are the basic requirements (written in plain English, for the legal requirements see 49 Code of Federal Regulation Part 26.55):

- Perform, manage and supervise the work using your own staff;
- Perform the work with your own equipment;
- Purchase, manage and negotiate your materials; and
- The regulations are very specific about trucking so if you have questions or concerns about how your firm is operating as a DBE, please contact the Office of Equal Opportunity or read the contract language (DBE General Special Provision).

Most commonly, DBE firms are found not to be performing a CUF if they are:

- Sharing equipment and/or personnel with the Prime Contractor;
- Subcontracting portions of their work to non-DBEs and trying to count that work; or
- Working as a pass through or letting other companies borrow or buy your DBE certification.

WSDOT wants to see your company succeed but bending rules or being unaware of the requirements of performing work as a DBE can be detrimental to your company. If you have questions or concerns about this issue, please contact OEO toll free at 1.888.259.9143 and ask to speak to Greg Bell, DBE Program Manager or John Huff, DBE Program Supervisor.